# CONSOLIDATING MALI'S DECENTRALIZED GOVERNANCE SYSTEM

## IMPLEMENTATION STATUS REPORT FOR THE PERIOD OCTOBER 1, 2006 TO SEPTEMBER 30, 2007

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# ACRONYMS

| | |
|---|---|
| ACCRM | *Association de Conseils de Cercles et d'Assemblées Régionales* |
| AFAD | a Malian NGO (*Association pour la Formation et l'Appui au Développement*) |
| AMM | Association of Municipalities of Mali (*Association des Municipalités du Mali*) |
| AN | National Assembly (*Assemblée Nationale*) |
| ANICT | National Investment Agency of Decentralized Entities (*Agence Nationale d'Investissements des Collectivités Territoriales*) |
| APE | Parent-Teacher Association (*Association de Parents d'Elèves*) |
| ASACO | *Association de Santé Communautaire* |
| ASG | A Malian NGO (*Association Subuni Gunni*) |
| CARE | CARE-Mali |
| CBO | Community-Based Organization |
| CC | Communal Council (*Conseil Communal*) |
| CCC | Communal Advisory Center (*Centre de Conseil Communal*) |
| CESC | Economic, Social and Cultural Council (*Conseil Economique, Social et Culturel*) |
| CGS | School Management Committee (*Comité de Gestion Scolaire*) |
| CLO | Local Orientation Committee (*Comité Local d'Orientation*) |
| CLUSA | Cooperative League of the U.S.A. |
| CRO | Regional Orientation Committee (*Comité Régional d'Orientation*) |
| CSC | Health Center for the Cercle of Niafunké (Centre de Santé de Cercle de Naifunké) |
| CSCOM | Community Health Center (*Centre de Santé Communautaire*) |
| CSO | Civil Society Organization |
| CTO | Cognizant Technical Officer |
| D/G | Democracy and Governance |
| DIAKONIA | a Swiss NGO |
| DNCT | National Directorate for Decentralized Entities (*Direction Nationale des Collectivités Territoriales*) |
| DRCN | Regional Bureau for Nature Conservancy (*Direction Régionale de la Conservation de la Nature*) |
| EU | European Union |
| F CFA | Franc of the Financial Community of Africa |
| FICT | Investment Fund for Local Government (*Fonds d'Investissement des Collectivités Territoriales*) |
| FY | Fiscal Year |
| GIS | Geographic Information System |
| GRM | Government of the Republic of Mali |
| GTZ | German International Cooperation Agency |
| HCC | High Council for Decentralized Entities (*Haut Conseil des Collectivités*) |
| IR | Intermediate Result |
| MATCL | Ministry of Territorial Administration and Decentralized Entities (*Ministère de l'Administration Territoriale et des Collectivités Locales*) |

| | |
|---|---|
| M&E | Monitoring and Evaluation |
| MSI | Management Systems International |
| NGO | Non-Governmental Organization |
| NRM | Natural Resource Management |
| NWP | « Nature, Wealth and Power » |
| ORFED | a Malian NGO |
| PAC | Project Advisory Committee |
| PACT | Decentralized Entities Support Program (*Programme d'Appui aux Collectivités Territoriales*) |
| PAICOL | Program in Support of Community Initiatives and Local Organizations in Timbuktu (*Programme d'Appui aux Initiatives et Organisations Locales de Tombouctou*) |
| PARAD | *Programme d'Appui à la Réforme Administrative et à la Décentralisation* |
| PDI | Institutional Development Plan (*Plan de Développement Institutionnel*) |
| PDMDK | a Belgian program (*Programme de Développement Multisectoriel de Koulikoro*) |
| USAID/PGP | Shared Governance Program (*Programme de Gouvernance Partagée*) |
| PMP | Performance Monitoring Plan |
| PPP | Public-Private Partnership |
| PRODEPAM | *Projet de Développement de la Production Agricole au Mali* |
| SAVE | Save the Children-USA |
| SNV | Dutch Development Organization (*Organisation Néerlandaise de Développement*) |
| SO | Strategic Objective |
| TDRL | head tax (*Taxe de Développement Régional et Local*) |
| USAID | United States Agency for International Development |

# EXECUTIVE SUMMARY

This report marks the end of the first option year and the beginning of the fifth and final year of activity. In preparation for FY08, special emphasis was given to each region's exit strategy, as part of the program's continued focus on sustainability. A framework for exit strategies to be finalized in each program zone was adopted in October and will guide the USAID/PGP global exit strategy, which will be presented to USAID in January of 2008.

New program elements were introduced this year, including a public-private partnership between USAID/Mali, Morilla Mine and the commune of Sanso, yielding very promising results after just over one year of activity. Gender was made into a full-fledged program component this year, in response to the closeout of USAID/Mali's Wingspan Women in Governance Program.

Several major events unfolded during the course of the year and affected the program in various degrees. Intense political activity leading up to the April presidential elections and July legislative elections disrupted communal dynamics and the decentralization process in several ways, notably by involving local elected officials in campaigning and Ministry of Territorial Administration (MATCL) officials in organizing the vote. The rebellion in the North and associated sporadic banditry caused further disruptions and delayed activities in Gao, Kidal and Timbuktu.

One challenge this year has been to maintain steady progress despite a growing lack of confidence in the implementation of decentralization; many actors have expressed frustration at the pace of reform and put in question the political will to decentralize. USAID/PGP is also struggling – as it has from the start – to bring about a paradigm shift in development assistance as an essential part of reform. Courageous efforts by USAID/PGP field agents to help actors assume greater responsibility for their development run up against practices through which this responsibility is assumed in their place, and against a growing culture in which involvement is motivated strictly on the basis of external reward.

The FY07 report is based on 152 partner communes, as opposed to 250 in FY06. The lower number of partners results from major modifications made to the implementation structure in September of 2006 following changes in funding levels. These changes included the departure of CARE International and Save the Children, and a switch to direct MSI supervision and grant management of 10 remaining partner NGOs. This transition in management by MSI was implemented without significant loss of personnel or disruption of activities.

USAID/PGP partner communes continued their general progress in FY07. Participation continued to rise, and accountability made significant strides. The practice of holding a public discussion around the annual budget has continued to spread, increasing to 86% of communes from 78% last year. Major accomplishments in accounting were transformed into the production of annual financial reports and their timely submission to council members, increasing accountability. Almost half of communes presented an annual report to the public as well as to council members this year, a dramatic change from just a few years ago when communes hardly had a functioning accounting system. Public participation in council sessions is also expanding, with almost twice as many communes reporting 10 or more observers as in FY06.

This phenomenon is amplified by the use of radio as part of the communication strategies crafted with the help of USAID/PGP field agents. Twenty-nine percent of communes (up from 25% in FY06) have broadcast the proceedings of public events such as council meetings on local radio this year, dramatically expanding access to debate on local issues. This is a marked departure from the situation at program onset, when most mayors shied away from media use and public meetings. USAID/PGP contributed this year to expanded use of radio in local governance in 50 communes, where agents contributed to civic content in a wide campaign co-financed as part of USAID/Mali's Communications for Development program (now merged with DG).

Partnerships between the commune and local service delivery associations, water and natural resource management committees and cooperatives also expanded this year. PGP/USAID agents, in synergy with USAID/Mali sectoral programs, facilitated relationship-building, aided in the crafting of agreements, provided organizational support and helped expand and deepen citizen mobilization. Results are noticeable in the health, education, water management, as well as natural resource management sectors.

Communes are increasingly formalizing their partnerships in community health (61%, up from 34%), primary education (65%, up from 52%), and natural resource management (71%, up from 26%). Formal partnerships enable the commune to better exercise its legal competencies and responsibilities. The results of these partnerships are borne out in commune policies. A greater proportion of communes now budget assistance to local health and education (84% and 86% respectively, up from 64% and 82% in FY06). Management oversight by the commune is also progressing. Thirty-eight percent of health centers now submit management reports to the communal council. The proportion of partner communes with a written agreement with one or more associations involved in the management of natural resources has dramatically increased. Communes are also making isolated forays into irrigation and water distribution. Results in health and education are associated with CSO participation in the communal budgeting process in a significantly greater number of communes than at project onset, when participation was minimal. Results in water and natural resource management are mostly the product of close collaboration with sectoral programs.

In fact, communal actors are working in greater collaboration than ever before. The situation today contrasts with the relative isolation and conflict-ridden relations in which communes were found to be at the program's onset. Alongside the increase and deepening of partnership, data suggests a reduction in the prevalence of conflicts to which the commune is a party, from an average of .89 per commune in FY06 to .44 in FY07. Conflict resolution is becoming an increasingly important part of communal functions. Eighty-four percent of communes report an active mechanism for conflict resolution, established with USAID/PGP assistance. Forty-five percent of those mechanisms were employed at least once this year, up from 41% in FY06. Conflict resolution at the commune level, drawing on tradition and the use of respected local mediators, is increasingly keeping local actors from getting locked into long, expensive, and often inconclusive, judicial processes.

This was a very strong year in terms of gender activity and results. USAID/PGP pursued the objective of bolstering and focusing existing activities regarding women's participation in communal affairs, building on achievements in Wingspan's 24 communes. The most noteworthy result this year is the significant growth of the capital invested in local women's groups. From an initial total of 59,796,575 FCFA ($120,000USD) in grants to 143 local groups in FY06, the aggregate value of funds held by the local groups in September of this year totaled 70 million FCFA, an increase of 17%.

A survey of Wingspan achievements found most networks of women's groups were not yet operational due to the early closeout of the Wingspan activity at the end of July of 2006. Moreover, many local groups which had not received grants (there are 143 grantees out of approximately 1,200 groups trained under Wingspan) were frustrated, and sometimes critcized the selection process. In response to this lack of progress, USAID/PGP agents worked overtime to help women in 24 communes overcome conflict, join together in building strong networks, exercise representation at the commune level, defend their collective interests and work in solidarity. This was done in all Wingspan communes and has already had an impact on the viability of networks. Networks in 13 out of 24 communes now hold regular meetings and finance the costs from their own resources. This represents a major achievement from the time the survey was completed in late 2006.

As part of Component IV strategy, USAID/PGP has contributed to efforts by the Committee for Increased Women's Participation in the 2007 to 2009 Elections. Four regional teams, Sikasso, Gao, Ségou and Koulikoro were instrumental in the establishment of regional chapters of the committee. Agents in Koulikoro, Sikasso, Timbuktu organized special workshops on women and governance including the electoral process.

USAID/PGP also pursued efforts to build capacity, legal and communal recognition and networking capacity among women's groups. The program also supported participation by women in budgeting and other communal activities. Increased participation by women in budgeting as a result of USAID/PGP activity is yielding results, with 66% of communes now reporting activities targeted at women in their annual budget, up from 59% in FY06.

Local resource mobilization is progressing unevenly. While partner communes as a whole increased the amount of local taxes and dues collected by 7% in 2006, fewer communes increased revenue in 2006 (54%) than in 2005 (64%). Analysis based on the 150 communes that continued with USAID/PGP after September 2006 reveals that one half of those communes that had increased revenue in 2005 failed to maintain their level of performance in 2006, losing 18% on average. The other half continued to increase local revenue by 26% on average. Meanwhile, 61% of the communes that had a decrease in local revenue in 2005 increased revenue in 2006, by an average of 37%. Several reasons begin to explain this uneven performance, including:

- Initial goodwill generated by program activities wears out as tax payers lose confidence due to poor commune performance, mismanagement;
- Disappointment in the levels of investment following the 2005 participatory planning exercise, the latter created often unrealistic expectations and has also likely contributed to improved performance in tax collection in 2005;
- A natural reduction in the amount collected as compared to 2005 when a first major effort was made to collect back taxes, boosting the amounts to be collected;
- An increase in the proportion of taxes collected that are not recorded (the amount paid by taxpayers is higher than the amount entered into the records);

While USAID/PGP support proved instrumental in the establishment of sound accounting practices and enabled accountability to be introduced in partner communes through timely public reporting, important issues remain and will continue to have an impact on tax recovery. Resources on record for any given year often do not represent the totality of taxes collected. Reasons include distance and administrative hassle in the management of the commune's funds by the state treasury office, which leads some communes to manage part of their resources outside the legal system; difficulty in controlling the collection of market and other fees levied by the commune; irregular use of proper official documentation in the collection of the development head tax (TDRL), which opens the way for abuse by village heads and other officials.

These acknowledged obstacles can combine with weakness in the state's administrative supervision of communes to hamper the establishment of credible and sound commune management. This situation, covering areas beyond the current scope of USAID/PGP, has the potential to sap the foundations for efficient decentralized management of the common weal by fueling mistrust among constituents and development partners. The promising achievements of the program's partner communes are conducive to sound commune management and require that these issues be addressed.

Results from the fourth year of activity confirm the program's significant contribution to the consolidation of decentralization in Mali, and underline challenges to current achievements. USAID/PGP is a unique and important part of Mali's national policy framework for decentralization. This framework includes financial resources contingent on the transfer of competencies, effective state administrative supervision of elected councils, access to technical support from state services, and favorable sectoral policies and practices. The program's achievements are inter-related with and influenced by other elements at play in the global decentralization framework.

To exercise their competencies, communes rely on technical support and collaboration from state services. Access to this support, however, is problematic. Sectoral planning regularly excludes the commune and access to information on allocated resources and local sectoral expenditure is not available to local elected officials. Transfer of infrastructure such as schools, health centers, irrigation and water distribution systems is generally not accompanied by corresponding technical and financial resources, raising questions as to the capacity of cash-strapped communes to assume service

supervision and infrastructure maintenance. Fifty-seven percent of partner communes report irrigation and water distribution infrastructure has been transferred, but most mayors shy away from involvement because the commune lacks the financial means to ensure repairs and the human resources to exercise supervision, often leaving water user associations on their own. Transfer of this infrastructure has not yet been accompanied by a transfer of resources.

While challenges are very real, there are reasons for optimism. There is local demand for the kind of support USAID/PGP is providing. Participation and accountability are taking hold in many communes. Development programs are increasingly mindful of local governance. Increased synergy at all levels between the GOM and its financial and technical partners will help insure that what USAID/PGP partner communes have built is consolidated into a global institutional environment conducive to efficient and accountable management of local affairs by local actors.

**How Sirakorola Became Famous**

Sirakorola* is one commune that went all the way with USAID/PGP. Sirakorola completed its participatory self-diagnostic in 2005 and adopted a plan of action, which is now 90% implemented. The first step was to use the 2005-2009 development planning process to establish closer ties between commune officials, council members and villages, identify priority needs with stakeholders, and submit the results to the population. Planned investments now reflect women and youth participation, with investments programmed for both groups in 2006. Participation was instrumental in the budgeting process for 2005 and 2006, for the first time in the commune's (short–6-year) history. Program support also helped the commune improve financial management, produce annual financial reports, respect procurement regulations, and make use of radio communication. Closer relations and emerging trust between communes and constituents enabled the commune to successfully renew and diversify its tax base, and improve tax collection. From 57% in 2004, tax recovery rates went to 89% in 2005, including a 94% rate on the development (head) tax. In calendar year 2006 Sirakorola was selected "best governed commune" in Koulikoro by the regional administration.

*Koulikoro circle and region

# A. INTRODUCTION

## CONTRACTUAL CONTEXT AND REPORTING STRUCTURE

This report covers activities during FY07, under contract # 688-C-00-03-00067-00 awarded by the United States Agency for International Development (USAID) on September 12, 2003 to Management Systems International (MSI) for the implementation of the first three years of a five-year project entitled "Consolidating Mali's Decentralized Governance System" and herein referred to as "USAID/PGP", the acronym of its French name — *Programme de Gouvernance Partagée*. The aforementioned contract was amended to add a first option year of activity, FY07. It was amended again in September, 2007, to add a 5th and final year, FY2008.

The three intermediate results (IR) that USAID/PGP is committed to achieving are as follows:

- Participation of key communal-level actors in democratic governance increased in targeted communes;
- Macro-political enabling environment strengthened.
- Promoting Women's participation in partner communes

The terms of the modified contract require MSI to submit semi-annual reports to the Cognizant Technical Officer (CTO) of the USAID Mission.

## PRESENTATION OF THE REPORT

This report marks the end of the first option year and the beginning of the fifth and last year of activity under this contract. In the preparation of this report, special emphasis was given to each region's exit strategy, as part of the program's continued focus on sustainability. Exit strategies were discussed in-depth during USAID/PGP's one week regional/central team meeting October 16 to 20 in Bamako, attended by USAID/Mali's Governance and Communications representatives. A global framework for exit strategies was adopted and will guide the production of each region's definitive exit strategy. Once each program zone finalizes its exit strategy, the regional plans will be synthesized into the program's Exit Strategy document, to be presented to USAID in January of 2008.

The FY07 report is based on 152 partner communes, as compared to 250 in FY06. This reflects the changes made to the program, which were implemented in September of 2006. Whereas the FY06 report presented operational data[1] per number of communes, this semester report presents data as a percentage of partner communes. This switch to percentages was motivated by the fact that the program now works in 152 communes, down from 250 communes. Percentages enable the reader to assess progress despite the change in number of communes.

Some of the operational data reported for FY06 has been corrected following in depth verification of all operational data produced to date. The verification was conducted as a first step in a program to improve use and quality of quantitative data at all project levels. The majority of corrections are very slight, and all corrections are "positive" –showing better results than originally reported.

[1] Operational data refers to data compiled from activity reports on a number of "working indicators." Operational data complement USAID/PGP's official Performance Monitoring Plan indicators and enable the team to follow progress between annual M&E data collection.

Beginning this year USAID/PGP is reporting on a new series of indicators as part of USAID's Operational Plan. The results are presented in a table under Monitoring and Evaluation and incorporated into the body of the report where appropriate. Results generated by the program's initial Performance Monitoring Plan (PMP) are also presented in the M&E section, and integrated as appropriate.

# B. IMPLEMENTATION STATUS REPORT

## OBJECTIVE 1: PARTICIPATION OF KEY COMMUNAL ACTORS IN DEMOCRATIC GOVERNANCE INCREASED IN TARGETED COMMUNES

### 1.1. BUILDING PARTICIPATION

#### 1.1.1. Public participation in planning and budgeting

| Communes where budget was presented publicly | | Communes where the annual financial report was presented publicly | |
|---|---|---|---|
| FY06 | FY07 | FY06 | FY07 |
| 78% | 86% | 36% | 47% |

In FY06, 76% of communes held a public presentation on the annual budget, a very high value considering the proportion of communes that have serious problems operating and organizing public events. Despite these perceived constraints, this year the value climbed again, to 86%, a very significant leap. The increase between FY06 and FY07 is spread unevenly across the Program's different zones. The proportion of communes that held a public presentation reached 100% in some zones; further investigation is needed to validate this result. In certain zones, the substantial increase can be attributed to sustained efforts by the PGP regional team. Other zones recorded a decrease, after reaching very high values in FY06, indicating further interventions are necessary for initial performance to be sustained over time.

There was also a marked increase in the number of communes that organized a public discussion on the annual financial report, from 36% in FY06 to 47% in FY07. This reflects an increase in most zones. It is an encouraging sign that partner communes are making improvements in accountability.

| Public participation to council meetings | | | Communes reporting council decisions to the public | | |
|---|---|---|---|---|---|
| participants | September 2006 | September 2007 | means | September 2006 | September 2007 |
| 1 to 5 | 36% | 32% | village | 64% | 55% |
| 6 to 10 | 19% | 12% | radio | 31% | 28% |
| 10 + | 12% | 21% | Village heads | 62% | 36% |

Values for FY07 indicate that the percentage of communes where at least one NGO or private sector participant attended the last commune session dropped slightly, from 67 to 65%. This finding is balanced, however, by the finding that the proportion of communes where 10 or more people participate has increased. With the assumption that the number of representatives per organization does not vary significantly, this value indicates that participation is widening to include a greater diversity of groups and individuals.

There is a drop this year in the number of communes using various means to increase reach in public reporting of council decisions. This is explained by a number of factors. In 2005 and 2006, the participatory communal development planning process brought a flurry of exchange between commune and village, generating, amongst other things, commitment by elected officials to maintain increased communications with village heads. This has tapered off – in contrast with public participation in council sessions, where participation seems to be widening. To appreciate this, one should bear in mind that the cost of reporting to the village level through village heads and village assemblies is high given the wide geographical spread of villages. The tapering off is a natural phenomenon and should not generate undue concern.

**No Shell Games in Bourem**

Community participation in the budgetary process continues to provide useful information and a platform for solving problems in Bourem Sidi Amar*. From the 21st through the 23rd of June 2007, 8 communal and 44 citizens (including 10 women) got together to discuss the 2007 supplementary budget. Two primary concerns were raised and addressed to the satisfaction of everyone. The first concern was that 3 eucalyptus groves being managed by the commune's Natural Resource Management Commission (established with USAID/PGP support) were being exploited, but not to the benefit of the commune. When Mr. Touré Houmayata asked where profits from the groves were going, the mayor was able to point to 150,000 FCFA ($300USD)in profits generated by the groves. Later, the 10 women present at the meeting brought up their concern that the current tax of 2,500 FCFA ($5USD) on grain mills and shelling equipment was too high for them. After some discussion it was agreed upon that women should only be taxed 1,500 FCFA effectively reducing the tax burden by 40%. Because of their participation in this meeting, the 10 women were able to have their concern heard and their problem solved. There are no shell games played with communal finances in Bourem Sidi Amar.

### 1.1.2. Participation in the electoral process

Voters across Mali were invited to express their choice in the country's presidential and legislative elections this year. In the period leading up to each electoral campaign and election day, USAID/PGP sought to remind its partners and their constituents of a number of principles regarding representative democracy, whether it be at a national or local level. Toward this end, USAID/PGP partnered with the National Civic Education Program's radio component, implemented by Hellen Keller International. In November, USAID/PGP representatives from each region provided technical support to two training workshops organized by Hellen Keller for 50 local radios. The workshops produced an open magazine format for local use by associated radios as well as a civic message on elections. The message was broadcast over 50 radio stations, reaching the great majority of USAID/PGP partner communes. In several *cercles*, the USAID/PGP agent served as a resource intervening as part of the radio magazine.

## 1.2. BUILDING PARTNERSHIPS

Support to civil society organizations includes cooperatives, users associations, youth associations, merchant associations and others. This year PGP provided support to CSOs in 85% of communes, a significant increase over the previous year. Among the results on record, dozens of CSOs adopted or revised their statutes and formally registered, making them more effective and legitimate interlocutors to the commune. There are several examples of increased participation in the budgeting process and in commune life by cooperatives, water user associations and youth groups, leading in some reported cases to council decisions to fund CSO activities. Other results include examples of communes collaborating with CSOs on tax recovery and marketplace management.

| Communes where USAID/PGP supported: | | | | | |
|---|---|---|---|---|---|
| Civil Society Organizations | | Agricultural Cooperatives | | Water And Other Users Associations | |
| FY06 | This period | FY06 | This period | FY06 | This period |
| 59% | 85% | 29% | 42% | 14% | 23% |

### 1.2.1. Partnerships for health

The most frequent support provided was in facilitating formal partnership agreements between the commune and local ASACO. The proportion of partner communes in which such an agreement exists has nearly doubled this year, to 65% of partner communes, from 34% last year. This progression represents contributions by several health partners including USAID/PGP and Keneya Ciwara. USAID/PGP's unique contribution consists of the grounding of initiatives in the local institutional fabric, which translates into initiated and/or strengthened relations between the commune and local health association.

| % of communes in which USAID/PGP supported health partners | | % of communes in which ASACO participated in budgetary process | | % of communes that have a contribution to ASACO in the budget | |
|---|---|---|---|---|---|
| FY06 | FY07 | 2006 budget | 2007 budget | 2006 budget | 2007 budget |
| 62% | 84% | 70% | 82% | 64% | 84% |

| % of communes that have a health development plan | | % of communes that participate regularly in ASACO meetings | | % of communes that have a signed agreement with the local ASACO | |
|---|---|---|---|---|---|
| September 2006 | September 2007 | September 2006 | September 2007 | September 2006 | September 2007 |
| 47% | 53% | 64% | 70% | 34% | 65% |

## Funding

One effect of the increase in the prevalence of formal agreements can be measured in the number of communes that budget funds in support of the local health centers, up 22 points from 62% to 84% of partner communes this year. Also contributing to the increase in funding is the increase in ASACO participation to the annual budgeting process, up 12 points or 70% to 82% of communes, and an increase in local understanding of the institutional framework for health.

## Knowledge of legal framework

In 14 communes, USAID/PGP worked on awareness of the law and establishment or review of formal partnership agreements; often with wide public participation. In 11 communes, the agent raised awareness of the commune's obligations in co-funding of local health. At least five new communes have drafted or signed an agreement with the ASACO.

## Organizational Development

Beyond relations building, USAID/PGP agents brought support and facilitation to strengthen the ability of local partners to overcome problems, widen participation, and otherwise improve local management of health. Support provided by USAID/PGP included organizational support such as ASACO board renewals, and conflict resolution. Reported results this period include the establishment of local health fora, resolution of conflicts and improved collaboration, commune participation in ASACO institutional development plan process, and improved ASACO management outlook.

Forty-two percent of ASACOs now make management reports to the communal council, establishing the administrative oversight function of the commune and leading to greater support and intervention by the commune in local health management. Seventy percent of partner communes now participate regularly in ASACO meetings, up from 64% last year.

In most of the 67 communes where USAID/PGP was involved in health, the agent worked in synergy with the health ministry and/or development partners. In 16 communes, USAID/PGP and Keneya Ciwara worked jointly.

### Healthy Kids in Djenne

Disenfranchised school kids in Djenne worried about access to health services. They put in a written request to the ASACO president and he came running to the commune for help. The commune and the ASACO together decided that kids would benefit from free consultations at the local health center. The commune also pledged to increase its subsidy to the health center every year. This is an example of the effects of USAID/ PGP activities in the commune of Djenné. By fostering closer and more constructive relations between communes and ASACOs, USAID/PGP contributes to making the environment conducive to collaborative efforts at finding solutions to local issues.

*Djenne cercle, Mopti region

### Generational changes in Mopti Region

Fatoma* commune was riddled by political conflicts and social strife. So much so that the last commune council was dissolved by the central Government. The local ASACO board members refused to relinquish their expired mandates. When USAID/PGP facilitated a commune diagnostic in 2005, the ASACO problems came out loud and clear. Now, with PGP support, initiatives undertaken since 2005 by youth groups to resolve the situation are finally paying off. A general assembly was held and the board was replaced by a much younger crowd. Now the ASACO and commune are working closely together and have normal institutional relations. In Konna,* where the commune and ASACO have excellent relations, the board was also recently replaced. Older notables were replaced by a new, younger team that includes 4 women.

*Mopti cercle and region

### 1.2.2. HIV/AIDS

USAID/PGP continued to work in synergy with HIV/AIDS programs. This period USAID/PGP participated in several reviews and workshops, including the annual HIV/AIDS program review by Groupe Pivot, the workshop for the launch of the AMICAAL team in San cercle, and in the Sévaré workshop. Field agents continued to facilitate relations between HIV/AIDS NGOs and communes, fostering greater involvement of communes in HIV/AIDS. This year 35% of partner communes have included HIV/AIDS activities in their PDESC, up from 16% in FY06, but are reported dependent on external resources to implement. Moreover, participation by HIV/AIDS NGOs in the budget process has increased to 41% of communes for the 2007 budget, up from 31% for the 2006 budget.

### 1.2.2. Partnerships for education

USAID/PGP agents contributed to improved governance in education in 84% of partner communes this year, up from FY06, when USAID/PGP contributed in 56% of communes.

The most important effort made during the period was strengthening the partnership between the commune and schools, including facilitating initial meetings, and drafting, signing, implementing, and revising partnership agreements. USAID/PGP agents were also involved with external partners in the establishment and capacity building of school management committees, bringing to the process internal governance and an institutional development perspective, as well as increased planning, at the school level and at the commune level. Other examples of USAID/PGP involvement in education include facilitation for local education actors in solving specific problems.

| % of communes in which USAID/PGP supported education partners | | % of communes in which APE/CGS participated in the budget process | | % of communes with APE/CGS contribution in budget | |
|---|---|---|---|---|---|
| FY06 | FY07 | 2006 budget | 2007 budget | 2006 budget | 2007 budget |
| 56% | 84% | 84% | 88% | 82% | 86% |

From a quantitative viewpoint, the significant increase in USAID/PGP involvement in education this year did not lead to notable increases in commune performance as measured by current indicators. The percentage of communes in which school governance structures participated in the budget process (88%) and the percentage of communes with APE/CGS contributions in the budget (86%) increased only marginally in FY07. This is largely explained by the already high scores of partner communes in FY06 (84%, 82%). Further increases under these indicators will likely be only marginal. Greater attention should now be given to building the capacity of local school governance structures and communes, strengthening the institutional relationship between the commune and APE/CGS, as well as bolstering the institutional relationship between the commune and the *cercle*-level deconcentrated units of the education ministry (CAP).

| % of communes that have a education development plan | | % of communes regularly involved in local dialogue on education | | % of communes that have a signed agreement with one or more local schools | |
|---|---|---|---|---|---|
| September 2006 | March 2007 | September 2006 | March 2007 | September 2006 | March 2007 |
| 77% | 93% | 65% | 60% | 52% | 65% |

While the proportion of communes that have produced an education development plan has significantly increased between FY06(77%) and 2007 (93%), the proportion of communes regularly involved in dialogue on education during the same period regressed by 5 percentage points. Accounts from the field point to low levels of commune involvement in ministry-driven planning processes to explain this apparent contradiction.

Moreover, the 13-percentage point (25%) increase in the percentage of communes having signed agreements with local school governance structures contrasts with a 5 percentage point drop in dialogue. This points to a probable low effectiveness of new partnerships between schools and APE/CGS. An inquiry into the situation in 6 communes in Timbuktu zone L identified several factors that explain a generally low effectiveness in commune-APE/CGS partnerships, including the organizational weakness of APE/CGS and a resistance to commune oversight. A similar inquiry in Timbuktu zone M also found that signed partnerships have only limited application, for reasons similar to those found in Timbuktu zone L.

More investments will be necessary if the commune is to properly play its role in primary education beyond providing funds and occasional support in resolving educational issues. One of the concerns will be the high number of schools per commune and limited commune resources. As an illustration, of the 65% of communes that have a signed agreement with at least one school governance structure, 55% have signed with 5 or less schools, 26% with 6 to 10 schools, and 20% with 20 or more schools.[2]

**Reaping the rewards**

Commune officials and the Adoumaha school management committee in Ber* started talking. With USAID/PGP guidance they established a working relationship based on respective responsibilities as defined in decentralization law. Then they took a step over the divide and talked to the *cercle*-level education officials about their situation and their needs. They must have been convincing. Adoumaha school now has 4 new teachers paid for by the Education Ministry and, as a member of the school management committee put it, “a lot more ease in dealing with the Ministry.” In N’Gorkou**, closer ties between the commune and school management committees led to 913,000 FCFA ($1,800 USD) in school supplies paid for by the commune, a record. It seems that dialogue is paying off in Timbuktu.
*Timbuktu *cercle* and region **Niafunké *cercle*, Timbuktu region

### 1.2.3. Partnerships for water

This year the administrative transfer of waterworks, commune by commune, was continued. Infrastructure is now transferred in 57% of communes as opposed to 41% at this time one year ago. An increasing number of communes now have ownership of some of the infrastructure previously managed by the state. There are widespread concerns among mayors as to the condition of transferred equipment and the ability of the commune to assume the costs related to needed repairs and upkeep. This situation has led most mayors to keep a lid on the transfer. In most communes where an administrative transfer has occurred, citizens and even water user associations are not aware of the change in ownership of their water management systems, and state resources have not been transferred along with ownership. This explains why few communes have solicited USAID/PGP in facilitating the establishment of contractual relations with water users associations.

The majority of cases of USAID/PGP involvement in water management are associated with sectoral programs in the establishment of new infrastructure. In 9 communes of Sikasso, USAID/PGP agents worked closely with village groups on regulation and on raising required financial contributions. In San *cercle*, USAID/PGP helped establish a regular forum involving the commune’s water users associations and provided organizational support to communal water management committees

[2] From a sample of 85 communes

managing relations with individual associations. In Timbuktu, USAID/PGP provided instruction on the legal framework and facilitated the establishment of contractual relations with water user associations in 6 communes. Agents also provided organizational support to individual associations and to larger communes in the management of water distribution.

Water management is an important issue at the local level. The capacity of communes to effectively manage water depends in good part on the process and conditions in which the transfers are completed, including the physical condition of what is transferred. As managers, mayors hesitate to get involved when they feel they do not have the resources to repair, restore and/or manage facilities. USAID/PGP involvement is dependent on this larger institutional framework. As for USAID/PGP contributions to the establishment of new infrastructure in synergy with sectoral programs, PGP can be instrumental in fostering enriched local processes leading to better prospects for sustainable communal management, as described above. However, these efforts are linked to the policies and procedures of sectoral programs and the flexibility of local program managers. The conditions for sustainable local management of new infrastructure are not always met by sectoral programs.

**Getting Things To Flow**

Improved communication and synergy amongst various community actors continues to grow in Léré*. On May 17, 2007 a meeting took place to overcome a conflict-ridden relationship and formalize relations between ~~the~~ Léré commune and the Water Users Association. Responsibility over water distribution lies squarely with communes but formalizing administrative oversight over pre-existing water user associations can be challenging. The meeting boasted 23 participants including elected commune officials, members of the water management committee, regional representatives from ARDIL/PGP, and members from the Local Governance Committee. The objectives of the meeting were numerous and ambitious. By the meeting's conclusion the participants agreed that they had achieved a better understanding of each of the actor's roles and responsibilities, as well as assuaged previous misunderstandings and general mistrust amongst the various partners. They had also brought together and broadened the range of relevant actors to tackle the commune's water distribution problems. This new spirit of partnership was demonstrated by the willingness of the water users to sign an agreement with the commune on the spot! This rapid response was prompted by communal counsellor Boy Fatoma Traoré saying, "If we are truly the people in charge, elected by the people, we must sign this agreement as soon as possible so that all that we undertake conforms to the law." With this convention in place, the partners are now ready to move forward in solving the commune's water problems.

*Timbuktu region

**Keeping it within legal bounds**

Confident of the results of their tax base inventory, Fittouga* commune officials wanted to lean on water users with a $5 weekly tax on water fountains. The water management committee thought that was a steep move. The USAID/PGP agent reminded participants in the meeting that decree No. 183 / P-RM of April 14, 2000 set maximum tax rates on water at 5% of sale price at pump for urban communes, 3% for rural. Reacting to the news, the First Deputy Mayor proposed to examine the matter in the next council session. Ignorance of law and due process remains a problem in most communes, despite past investments in formal training. In this case, the consequence of ignorance could have had an adverse effect on access to water for the marginalized.
*Niafunké cercle, Timbuktu region

### 1.2.4. Natural Resource Management

There was a drop this year in PGP involvement in natural resource management, from 54% of partner communes in FY06 to 45% in FY07. This is normal since in many cases in FY06, USAID/PGP involvement was carried out in synergy with USAID/PRODEPAM ; the program was not present in the field for the duration of this period. This may explain that 47% of partner communes report NRM activities in partnership with an external program, as opposed to 63% in FY06.

| % of communes in which USAID/PGP contributed to NRM | |
|---|---|
| **FY06** | **This period** |
| **52%** | **27%** |

Partner communes progressed further in FY07 in exercising responsibility over NRM. With the help of USAID/PGP, 6 more communes instituted taxes on gravel and sand, following the lead of a number of communes in previous reporting periods. Access to revenue from other natural resources, such as forestry and mining, which are collected by the state on behalf of communes, remains problematic due to a lack of transparency and collection issues.

In the majority of communes in which USAID/PGP provided NRM support, it was carried out in synergy with sectoral programs. Under this synergy, USAID/PGP provided support to communal actors in planning for herding corridors; inter-communal and communal NRM agreements, NRM mapping and planning. The value-added to sectoral processes by PGP varies according to the activity, and includes reinforcing commune involvement in the process, providing organizational support to local committees in implementation, and fostering knowledge of the legal and administrative framework.

Overall, partner communes have progressed in NRM management, with 85 communes with signed NRM agreements in FY07 as compared to 64 in FY06. The rate at which communes enter into NRM agreements has regressed somewhat, with 70 communes having signed an agreement in the past 12 months, as compared to 89 in FY06.[3]

**Banko Fishermen Unite!**

Sustainable fishing in the Bagoé River requires a seasonal ban on fishing. But for some fishermen in Banko, fish under ban are fair game. One problem may be that Banko* fishermen are from two villages– and two cooperatives that do not cooperate well with each other. Cross-village accusations of cheating on the ban threatened peace in the community. Fishermen worried about imminent conflict, called on the commune, and the commune called on the USAID/PGP agent and the Nature Conservancy Service. With USAID/PGP and State Conservation Service guidance, the commune brokered an agreement binding fishermen from both villages to a single cooperative with power to levy fines under supervision of the commune. The Bagoé River production this year includes a clear example of the role communes can play in the management of natural resources when commune officials work hand–in-hand with their constituents and state services.
*Dioïla cercle, Koulikoro region

[3] The value for FY06 is projected over 150 communes from 250 respondents; the value for FY07 is projected over 150 communes from 122.

**Onion Rings in Diédougou**

Diédougou* commune is in the center of a plain, well-suited to onion farming. Five other communes form a ring delimitating the plain. With USAID/PGP support, the six mayors together sought to finance a packaging plant and established an 86-member intercommunal cooperative. So far the cooperative–with organizational support from USAID/PGP–has collected from its members $7,000 of $10,000 USD in required local financial commitment for a $320,000 USD plant to be built in the area. In Diédougou, intercommunal development schemes ring true.
*Dioïla cercle, Koulikoro region

**An Island of Green in Charcoal Country**

Binko* is known as a charcoal-producing commune. Gouendo village, however, the largest and most wooded village of Binko, does not produce charcoal. The inhabitants have decided to protect their trees by limiting use to non-commercial activities such as collecting dead wood for cooking, collecting fruit, and collecting medicinal ingredients. There was a stir when youth from nearby Wingué hamlet–who exploited the forest before the new rule–persevered in their commercial activities despite repeated warnings by the chief of Gouendo village to the leaders of Winké hamlet. Binko commune had previously established a conflict prevention and mediation mechanism, so the mayor knew what to do. When the Gouendo village chief brought his complaint to the commune, members of the conflict commission (created with USAID/PGP guidance and support) sat to hear both sides. The committee used local traditions called *Furugnongonya* to mediate between the parties. Winké hamlet clan leader admitted fault. The hamlet was fined $20 for the 2 carts of cut wood and an additional $15 for having committed a repeat offense. The inhabitants of Gouendo village now breathe easier.

*Dioïla cercle, Koulikoro region

## 1.2 RESOURCE MOBILIZATION AND DIVERSIFICATION

### 1.3.1. Fiscal planning

Since its inception, USAID/PGP agents have assisted a number of communes in assessing their fiscal base. In Cinzana, Sébougou, Farako, Togou, Katiéna, and Sansanding (Ségou *cercle*), support was provided to make more realistic assessments of the tax base. Over this reporting period, the Timbuktu team partnered with the Local Development Support Program (PADL) to widen the tax base by helping the commune work at the village level in five communes of the Timbuktu *cercle*. In another commune, Bourem-Sidi-Amar (featured in the next text box) outreach and dialogue have largely contributed to the ability of the commune to widen its tax base. The commune tax base is often inaccurate and based on inventories taken years ago. Conducting new tax base inventories is tricky, and only a handful of communes have initiated such inventories. Communes in Timbuktu provide a valuable case study that serves as a reference for communes in other regions.

### 1.3.2 Resource Mobilization

| Number of communes increasing their revenue over previous year* | |
|---|---|
| **FY06** | **2006 budget** |
| **97** | **81** |

[1] The value for FY06 is projected over 150 communes from 250 respondents; the value for FY07 is projected over 150 communes from 122.

Eighty-one sub-national governments increased their revenue over the previous year, 26% under expected performance for FY07. Data analysis reveals the gap is largely due to the failure of a number of communes which had increased revenue in 2005 to sustain their performance in 2006. Forty-nine percent of the communes that increased revenue in 2005 saw their 2006 revenue decrease (by 18% on average), while 51% continued to increase revenue (by 26% on average). Although reasons vary greatly from one commune to another, the following reasons stand out:

- Initial goodwill generated by program activities wears thin, as tax payers lose confidence due to poor commune performance and mismanagement;
- A natural reduction in the amount collected as compared to 2005 when a first major effort was made to collect back taxes, boosting the amounts to be collected;
- An increase in the proportion of taxes collected that are not recorded (the amount paid by taxpayers is higher than the amount entered into the records);
- Economic hardship linked with late payments from the CMDT company in some parts of the zone;
- Political and other conflicts resulting in refusal to pay
- Non-payment by taxpayers once the use of force is reduced / replaced by a more voluntary system

The participatory 5-year planning process was carried out in 2005, the same year in which a majority of communes increased their revenue. There may be a link between the flurry of participation in planning in the belief that public investment and taxes are linked one the one hand, and the increase in taxes collected on the other. The reduction in the number of communes increasing revenue in 2006 may be associated with a disappointment in the levels of investment following the 2005 participatory exercise. Many plans were unrealistic as to the level of investment that could be financed, leading to unrealistic expectations among taxpayers.

In assessing FY07 achievements, the following should be kept in mind:

- Given the context in which communes operate (with few resources, inadequate administrative supervision, mismanagement), it is actually encouraging to see that 51% of communes with an increase in 2005 have maintained their good performance in 2006.
- 61% of the communes that had a decrease in revenue in 2005 increased revenue in 2006, by an average of 37%.
- While fewer communes increased revenue in 2006, partner communes overall increased revenue by an average of 7% in 2006 over 2005.

**Multiply That Revenue**

Bourem-Sidi-Amar* has learned that participation is the road to take if you want to increase your revenue. Last year the commune multiplied its tax base on cattle four-fold. In November, the mayor organized a meeting with local actors to report on commune performance in 2006 and tackle a tax issue. Up until then, the commune taxed residential units at a flat rate of $4 USD. Living arrangements in Mali are generally based on the extended family. A residential unit can vary greatly in size and harbor anywhere between one to five or more related families. The flat rate was unfair to the inhabitants of smaller units and not very profitable for the commune. Now the tax will be paid by each individual family. Village chiefs, Treasury officials, local associations, and the council's finance commission were all involved in reaching a consensus on the issue, and all contributed to the inventory of the residential tax base according to the new street tax policy. Street-tax revenue for the commune should reach $6,500 in 2007, up from $2,300 in 2006. And as long as constituents are involved in decision-making and management is accountable, it seems tax compliance in Bourem-Sidi-Amar poses no particular problem.

*Dire cercle, Timbuktu region

## 1.3 COMPLIANCE WITH PROCEDURES AND GOOD PRACTICES

### 1.4.1. Capacity Building

Activities to build financial management capacity this period were carried out in the context of the National Training Plan initiated by the National Directorate for Decentralized Entities (DNCT) and the National Directorate on Treasury and Public Accounting (DNTCP) and inspired by USAID/PGP's successful work on commune finance in partnership with GTZ's Local government Support Project (PACT). Training this period enabled USAID/PGP to reach beyond USAID/PGP partner communes to the 12 communes of Niono, the 23 communes of Dioïla, and the 38 communes of Kati, at little cost. USAID/PGP contributions varied from technical support during the training sessions, to reproduction of the USAID/PGP training materials. This activity was carried out in partnership with GTZ and SNV. Since its inception, USAID/PGP has trained officials in a total 335 communes, 194 of which are USAID/PGP communes, involving 965 officials.

| Number of state and communal officials trained in FY07 | | | |
|---|---|---|---|
| **Commune Officials** | **Interior Officials** | **Treasury Officials** | **Total** |
| **801** | **86** | **78** | **965** |

### 1.4.2. Compliance with legal accounting formats and deadlines for budget preparation

The table below presents two noteworthy changes this period. The first is the continued, steady progression in the quality of accounting systems in partner communes. The great majority of partner communes now use accounting tools, and generally keep up-to-date with their accounting. This performance explains, in part, the ability of communes to quickly and easily produce their annual financial report. As reported in the table on the next page, the proportion of communes that respect the legal date for adoption of the report by the communal council has also increased to 70%.

| % of communes using accounting formats prescribed by law | | % of communes that adopted their budget before legal deadline | |
|---|---|---|---|
| **FY06** | **FY07** | **2006 budget** | **2007 budget** |
| **66%** | **86%** | **57%** | **53%** |

The other noteworthy change is the small drop (7%) in the proportion of communes that have adopted their 2007 budget within the legal limit. This change was brought about by a drop in three of the program's 10 zones, while the remaining 7 zones continued to progress or remained stable. The drop in the three zones was caused by a momentary reduction in follow-up by local agents. The drop underlined the necessity for further actions to insure the sustainability of USAID/PGP achievements, especially in zones where the Prefects are less active in insuring that communes respect legal delays.

### 1.4.3. Reporting

Submitting a timely report to the communal council, and making a pubic presentation to constituents, is a cornerstone of accountability. Significant improvements in accounting practice, achieved with USAID/PGP support in FY05 and 06, are translating into improvements in reporting. Communes submitting a financial report to the council in the first three months of the new accounting period jumped to 70% in FY07, from 38% in FY06. In 45% of communes this year, the report was presented

to the public, either through public participation in the council session or through a public assembly. In some cases, the report is presented in village assemblies, and provides the opportunity to discuss performance for the year.

| % of communes whose *compte administratif* (CA) was submitted to the CC in 1st quarter of 2006 | | % of communes that presented the CA publicly | | % of communes where the council questioned elements of the CA | |
|---|---|---|---|---|---|
| 2005 CA | 2006 CA | 2005 CA | 2006 CA | 2005 CA | 2006 CA |
| 38% | 70% | 27% | 45% | 9% | 6% |

USAID/PGP has put special emphasis on resource mobilization and financial management in FY07, including timely production and public presentations of annual financial reports. Although the values above indicate significant progress, the achievement of financial accountability is a slower process than that of sound accounting and reporting. Definitive data for FY07, based on 147 respondents, indicates only 9 councils, or 6%, demanded clarification upon reviewing the annual financial report (*compte administratif* –CA).

Another overarching issue concerns financial resources that escape the commune's accounting system. Resources on record for any given year often do not represent the totality of taxes collected. One of the reasons lies in the travel time and administrative hassle involved in the management of the commune's funds by a state treasury office located in the chief town of the *cercle*. This leads some communes to manage part of their resources outside the legal system. Another reason is the difficulty in controlling the collection of market and other fees levied by the commune, leading in many cases to revenue loss, with or without the alleged complicity of the mayor's office and members of the council. A third reason is the irregular use of proper official documentation in the collection of the development head tax (TDRL), opening the way for abuse by village heads and other officials. A fourth reason is the use of police officers in TDRL collection. Police officers are allegedly paid the equivalent of their wage plus expenses, significantly draining resources in communes that make extensive use of police in collection. These reasons contribute to explain this year's drop in the number of communes that increased revenues over the previous year.

**Unaccountable Is Unacceptable**

The communal council of Tonka* has rejected the mayor's financial report (CA). Practices that the council has described as inappropriate, include: 1) renovating an existing building, contravening a council decision to construct a new building to house a computer centre. 2) using non official receipts in delivering annual motorcycle tax discs and 3) failure to properly record the receipt of taxes collected from grain mills and other equipment. The failure of the communal council to approve the report has led Tonka citizens to understand the mayor is not above the council, changing previous beliefs.

*Timbuktu region

**Léré Leads the Way**

On March 11 of this year, the Mayor of Léré* presented for the third time the commune's annual financial report to council. But this year something had changed. There were four citizens in the chamber, there were none the previous years. And, for the first time, council members were asking questions. According to the financial report, a lease on a public building generated a total of 100,000 CFA for the year 2006. The lease was signed for 50,000 FCFA per month (while the council had previously decided on 100,000 ($200) per month). Then there was the issue of a truck owned by the city and leased at 100,000 FCFA per month for which only four months of payment appear on the report. Heated debate ensued, during which the Mayor vowed to pay the missing 8 months of misplaced revenue on the truck lease and the First Deputy admitted to mismanagement. The report was then approved as it stood; 11 to 1 with one abstention. Support by USAID/PGP to improve accounting practice and transparency enables such control by elected representatives of commune constituents to become a reality.

*Niafunké cercle, Timbuktu region

**A Backlog of Secrets**

Keleya* commune had never made annual financial reports public. When it finally did with the help of USAID/PGP and NGO CESAG; village chiefs, local associations, distinguished constituents and development partners were treated to 3 years' worth (2003 to 2005) of reports. Highlights : the commune paid up to $4,000 annually to hire police to "help convince" taxpayers to pay; tax revenue is eroding, with the development tax down to $26,000 from a high of $34,000 in 1999; the license tax collected by Treasury for the commune officially amounts to 50 cents. Through this exercise the council gained valuable knowledge of current management and can better play its supervisory role.

*Bougouni cercle, Sikasso region

## 1.4 CONFLICT PREVENTION AND MANAGEMENT

Over this reporting period, USAID/PGP agents have made considerable strides in helping communes establish conflict resolution mechanisms. Eighty-four percent of communes now report having a commune-level mechanism in place, up from 57% one year ago. However, as the indicator "percentage of communes that have used their mechanism in the resolution of a conflict" suggests, the newly-established mechanisms have not entirely moved into gear. In FY06, 40% of the existing mechanisms had been used in the resolution of at least one conflict, compared to 46% in FY07. Considering that there are almost 50% more mechanisms this year, the "mechanisms used" value might have increased even more noticeably. This discrepancy is explained, in part, by one zone in which the number of communes with mechanisms more than tripled, an unsustainable level of growth, while the number of communes where the mechanism was used was halved. Special steps will be taken to address this issue in that zone, as; it does not reflect the situation in USAID/PGP zones, where sustainable mechanisms are in place.

| % of communes with commune-level mechanism | | % of communes that have used their mechanism in the resolution of a conflict | | Average number of preventive actions per communes | |
|---|---|---|---|---|---|
| FY06 | FY07 | FY06 | FY07 | FY06 | FY07 |
| 57% | 84% | 41% | 45% | .43 | .38 |

With respect to preventive actions taken by partner communes, they average .38 per commune this year, as compared to .43 in FY06. This decrease is explained by the fact that once the most direct and immediate steps are taken, the number of steps taken naturally diminishes. Communes took such preventive steps as delineating livestock passages in areas where cultivated areas are in expansion and adopting or re-affirming local rules concerning the seasonal access to shared natural resources.

These mechanisms and prevention steps have a very real impact on the welfare of local actors previously locked in long and costly judicial processes. In more spectacular cases, commune involvement through these mechanisms led to the unraveling and settlement of long-standing conflicts that kept parties from exploiting valuable tracks of land for decades.

One interesting development this year is a reduction in the number of conflicts in which the commune is party. The establishment of the local institution in the 1999 election of councils generated several conflicts between communes and traditional authorities, prefects and sub-prefects, villages and local service delivery associations, as well as conflicts internal to the commune. There is a significant drop this year in the average number of conflicts per commune (.44) as compared with FY06 (.89).

This year the USAID/PGP team will concentrate on the consolidation of existing mechanisms, building capacity among members of local committees and assisting in reinforcing the efficiency of commune-wide alert networks. The USAID/PGP approach to conflict resolution, building on traditional mechanisms and local resources, has demonstrated its value and sustainability. Prospects for the continued work of local committees beyond PGP is promising.

**Individual Rights vs Collective Will**

When livestock from Tomi village* wreaked havoc in Kalandia village fields, Kalandia villagers mistreated and held the animals. Tomi village herders reacted instigating a legal procedure for damages to their livestock at the local tribunal. The local conflict resolution committee, established by the commune with USAID/PGP support, sent emissaries to each village to get the facts. Sadio Dina Boré, the local traditional healer from a third village, intervened on behalf of the committee. Tomi herders agreed to withdraw their charges, except for one herder who held his ground. When the commission made its report to the commune council, the 50 village chiefs present tasked the mayor with presenting a message to the chief of Tomi village: Choose between your lone herder and all the villages of Gourma and Haoussa. To be continued……

*Soboundou commune, Niafunke cercle, Timbuktu region

**No Man's Land Productive Again**

Two families in Haïbongo* had been feuding for more than 20 years over the dividing line between their fields. When the local judicial authorities found themselves unable to settle the issue back in the 80's, the fields were declared a no man's land and laid fallow. Each of the judges that came and went since then tried to resolve the issue but to no avail. The conflict was resolved this year by the commune's conflict prevention and management committee. Now the fields are growing cereal again, thanks to the Haïbongo conflict prevention and resolution committee. And thanks to USAID.

*Dire cercle, Timbuktu region

**Making Use of Your Sinankunya**

When communal boundaries were drawn in 1999, 14 villages were grouped together to constitute Niantjila* Commune. In one village, Bamanantou, a local politician promised to make the village head town of the commune in exchange for political support. When villagers from Bamanantou learned the head town was Niantjila, their disappointment led them to turn their backs on the commune. Niantjila villagers added insult to injury shortly afterwards: Bamanantou turned away "for good." Bamanantou children born since do not have a legal identity because they are not registered, the village pays no taxes and no public investments have been made. With USAID/PGP assistance, commune officials used the tradition of *Sinankunya*[4] to overcome the problem. On March 11 commune officials made the trip to Wola village, in another commune, to meet with the Mariko family, which is linked by *Sinankunya* to the Togola family of Bamanantou. The Mariko family will now exercise its influence to convince the Togola family of Bamanantou to accept mediation to bring back the village where it belongs: in the commune of Niantjila.

*Dioïla cercle, Koulikoro region

## 1.5. STRATEGIC COMMUNICATION

### 1.6.1 Communal interaction

USAID/PGPGP agents continually encourage and support commune officials and other groups to interact on local issues of concern. Most actors now recognize that by informing, associating, and fostering exchange, a positive outcome for all involved parties is more likely. During this reporting period, the program's agents encouraged wider, deeper, and more effective participation whenever possible. Moreover, agents used such venues to develop knowledge of the principles and laws that govern local governance and decentralization.

Over this reporting period, dialogue was used as a mechanism in a wide spectrum of sectors. Out of 83 reported cases in March, dialogue was used firstly to assist with local resource mobilization, followed by natural resource management (NRM), health and education, as well as conflict. During this period, synergy also was the topic of debate, with four examples of cross-sectoral information sharing. Dialogue on the budget and annual financial reporting is not included in this tally.

The table which follows illustrates the change in dialogue between the period FY06 and this period. The number of communes in which there was at least one example of dialogue (between one and five) has increased relative to FY06, while the number of communes in which there were more than 10 examples of dialogue dropped sharply. This decline can be explained by the fact that in FY06 the five-year planning process was in its last stages in the great majority of communes, generating multiple village-level instances where dialogue took place. The figure of 92% underlines the fact that 8% of communes report no dialogue. Again, roughly one quarter of communes are facing serious difficulties that in many cases affect their ability to function normally. As an illustration, in 20% of communes this period, deputy mayors are not regularly present at the town hall.

| % of communes in which examples of dialogue took pace | | |
|---|---|---|
| **Number of examples** | **FY06** | **FY07** |
| **1 to 5** | **67%** | **75%** |
| **6 to 10** | **17%** | **14%** |
| **More than 10** | **12%** | **3%** |
| **Total** | **96%** | **92%** |

[4] *Sinankunya* is the tradition by which certain families, distant cousins, can speak in jest of any subject without generating hostility. This traditional mechanism enables delicate issues to be dealt with openly.

An in-depth analysis of information gathered this year shows that, dialogue was initiated by the commune in the large majority of cases, although the institution was likely acting on externally-generated opportunities in a number of those cases. In the remaining examples of dialogue for this period, external programs and projects were the initiators. There were no reported examples in which civil society organizations or village councils initiated dialogue; although this may be attributable to skews in the reporting mechanism itself, this information reinforces observations on the relative weakness of local CSOs.

It is clear that dialogue and interactions have tremendously progressed in a majority of partner communes since the inception of USAID/PGP. Dialogue was boosted initially by the PGP lead Communal Diagnostic and the local development planning process, in which the program invested considerably. Dialogue was also boosted by resource mobilization and the initial efforts of commune officials to reach out to constituents to improve tax recovery and diversify tax base. In the current reporting period, dialogue reached a plateau after the peak in calendar year 2005.

At issue now is “who initiates dialogue?” Civil society organizations are not sufficiently strong and seldom initiate dialogue. Moreover, although commune officials have recognized the value of participation and partnership, their interest in pursuing an open policy of participation is counterbalanced by personal interests. In the majority of communes, officials are hesitant to accept the other side of the participation equation: greater scrutiny and less leeway. For USAID/PGP’s initial achievements to be deepened and sustained, citizen and group demand for information and involvement will need to grow further. More effort and time are necessary for this to happen.

In FY08 regional teams will increase efforts in capacity-building for CSOs responsible for service delivery in education ( *Comités de Gestion Scolaires*, CGS and *Association des Parents d’Elèves*, APS) in health (Association de Santé Communautaire , ASACO) in water (*Association des Utilisateurs de l’Eau Potable*, AUPE) and others in resource management. Such capacity building will enable CSOs to more constructively partner with the commune. Activities will be conducted through improved synergies with sectoral partners and synergies within the commune.

### 1.6.2 Communications strategies facilitated

This period, field teams led a widespread effort to help communes assess their communications strategy. At project onset, each partner commune crafted, with USAID/PGP support, a strategy to associate local actors in communal life and through these connections, to improve local resource mobilization. Communes have met with different levels of success in implementing their respective strategies, with some doing very well and others coming up against political divisions or apathy. The majority of partner communes have drawn lessons from this initial experience and many have modified their approach accordingly.

### 1.6.3. Use of radio

Given physical constraints set by the vast size of the country and limited commune resources, media is used to share ideas and experience, debate issues, and provide valuable information to foster the participation of a much larger mass of constituents. Communes use radio to reach effectively and economically, citizens scattered over large areas. Radio dramatically widens the reach of communal dialogue, enabling a critical mass of citizens to be exposed to new information and ideas, and take part in the evolution of issues and democratic discussion in their commune.

| % of communes making use of radio | | Use by programming type | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | Sensitization | | Announcements | | Public events | | Public affairs | |
| FY06 | FY07 | FY06 | FY07 | FY06 | FY07 | FY06 | FY07 | FY06 | FY07 |
| 83% | 87% | 69% | 84% | 85% | 89% | 25% | 29% | 40% | 41% |

The most encouraging uses of radio involve the broadcasting of public events, up 4 points, and public affairs programming, stable at 41% of communes. Broadcasting real events enables constituents to access debate on a variety of issues from taxation to natural resource management. Distinct from awareness raising - where communication is unidirectional and aimed at informing - broadcasting of public events enables listeners to hear what their peers and representatives are talking about, which is more conducive to the evolution of opinions and participation.

Public Affairs programming includes the discussion of local issues on the airwaves and involves various actors. The theme most commonly discussed on the airwaves is resource mobilization, followed by various themes, such as health, NRM, and livestock corridors.

Although radio use by communes is encouraging, some overarching issues remain. Communes use radio on a pay-per-use basis, which means that, outside of the broadcasting of public events, the mayor's office generally controls what use is made of the medium, and therefore what information is transmitted. Moreover, the mayor's office can stop radio use at a whim to avoid broadcasting uncomfortable issues or opinions. . Local radio stations, private or community, seldom have the human or financial resources necessary to develop independent programming on local issues, with Radio Bélékan being an exception. Most radio stations are private and linked to political actors. For local radio to become a credible source of information and debate on the commune and on local issues, community radio must have the means to produce programming independent from the commune.

This year USAID/PGP has worked more closely than ever with Hellen Keller's National Civic Education Campaign. USAID/PGP provided overall technical assistance in decentralization in a workshop in Ségou in August. The workshop targeted 50 radio hosts, drawn from USAID/PGP zones. The training prepared the radio hosts to craft magazine formats on decentralization. USAID/PGP agents were involved in follow on support to the trained radio hosts in the radio campaign that took place after the August training session. The resulting programming was broadcast over several weeks on all 50 stations. USAID/PGP was also involved in a similar manner on the theme of presidential and legislative elections, as detailed above, under "Participation in the electoral campaign."

USAID/PGP will continue to encourage and provide assistance to communes in innovative and inclusive uses of media, and provide support to local radios on local governance themes. Special attention will be given to radio use this year, widening access to communal stocktaking on 5 years of local governance in partner communes, as part of USAID/PGP's exit strategy.

## 1.6. GENDER

### 1.6.1. Building on WINGSPAN

This year was a very strong year in terms of gender activity and results for USAID/PGP. In its proposal for USAID/PGP implementation in FY2007, MSI introduced Women and Governance as a fourth program component. The new component was staffed in September and has been fully operational since. The goal has been to strengthen, orient, and bring into sharp focus USAID/PGP's activities regarding women's participation in communal affairs. This was recognized as an important opportunity given the end of USAID's Women in Governance program in the last quarter of FY2006.

This reporting period, Component IV, in pursuit of the promotion of women's participation and partnerships in communal life, conducted a series of key activities which included:

- A wide survey of activities and achievements by USAID/PGP agents as well as a survey of groups and networks previously supported by USAID's WINGSPAN program
- A participatory process of strategy-building with field teams
- The identification of new operational indicators to track advances in women's participation

- The establishment of a mechanism integrating Component IV programming into USAID/PGP's existing system of commune-owned Strategic Partnership Plans (PSPs)

- The establishment of a mechanism to insure that achievements, anecdotes and cases are systematically documented and incorporated into existing activity reports, and

- The establishment of gender-focused synergy through relations with GOM, associations and donors.

#### 1.6.1.1. Survey of USAID/PGP and WINGSPAN Achievements

Between October and January, MSI assisted USAID's D/G team in an extensive field survey of USAID/PGP and WINGSPAN achievements. All ten of USAID/PGPs NGO partners played an instrumental role in designing and conducting the survey in their zone. The Component IV coordinator, joined by USAID's Deputy Team Leader and former CTO on WINGSPAN, traveled to six USAID/PGP zones to get a personal sense of achievements and challenges. Below is a synthesis of what they found:

- USAID/PGP activities contributed to women's participation in planning and budgeting. In 79% of communes women participated in the 2006 budget process.

- 64% of communes had activities targeting women in FY2006, up from 59% in FY2005 and 36% in FY2004.

- USAID/PGP and WINGSPAN field agents worked in synergy in 16 out of the 24 WINGSPAN target communes.

- In dozens of meetings with women groups at the commune level, central and field staff noticed the presence of women leaders who openly talked about issues in the presence of commune officials; this behavior, according to participants, was a new phenomenon.

- Grantees made good use of funds; 80% of groups have increased their capital through small loans to members, 7% have not implemented their projects (mostly due to timing and agricultural seasons), 13% have lost part of their capital (mostly due to problems in project implementation).

- Training modules did not lead to concrete new activities; most groups do not make use of the accounting and organizational tools or the post-literacy booklets provided during training.

- A minority of groups make regular use of radio within listening groups, mostly due to problems and conflict in radio sharing between groups.

- The great majority of networks are not functional (mostly due to the early closeout of WINGSPAN activities).

#### 1.6.1.2. Strategy

Based on extensive discussions with local partners and field staff and on survey findings, a three-pronged strategy has been crafted for the consolidation of USAID/PGP and WINGSPAN achievements under Component IV. The strategy, although piloted and monitored by Component IV staff, will remain an integral part of the other three USAID/PGP components: Participation and Partnership, Financial Management, and Enabling Environment. The strategy is presented in annex X.

### 1.6.2 FY07 Results in Wingspan Communes

#### 1.6.2.1 Grants to local associations

The most noteworthy result this year is the significant increase of the capital invested in local women's groups. From an initial total of 59,796,575 FCFA ($120,000USD) in grants to 143 local groups in FY06, the total value of funds held by the local groups in September of this year totaled 70 million FCFA., an increase of 17%. The most successful groups –the majority– established credit systems whereby the capital was distributed in the form of small loans for short-term activities linked to agriculture, commerce and herding. Ninety-percent of those groups have increased their capital. Activities managed directly by the local group had more mixed results, for a variety of reasons including delays in receiving grants for seasonally-sensitive activities. Overall, of the 143 grantees, 75% have increased their capital, 5% have not progressed and 20% have lost part of their capital, mostly through unsuccessful activities.

#### 1.6.2.2 Network development

As stated above under the survey of Wingspan achievements, most networks were not operational at the closeout of the activity in end July of 2006. Moreover, many local groups which had not received grants (there are 143 grantees out of approximately 1,200 groups trained under Wingspan) were frustrated and sometimes critical of the selection process. USAID/PGP agents worked overtime to help 24 communities overcome conflict and join together in building strong networks to benefit from representation at the commune level, defend their collective interests and work in solidarity. This was done in all Wingspan communes and has already had a dramatic impact on the viability of networks.

One of the foremost indicators of this solidarity is the willingness of grantees to allow other groups to access small loans. This principle of sharing between groups was a cornerstone of USAID/PGP efforts at building networks founded not only on representation but on concrete services provided to member organizations. Although data was only partial at the time this report was completed, there was a significant increase in access to credit in Baguinda and Bougoula communes, where 26 and 16 groups respectively now access funds, up from 8 and 10 grantees respectively. These two communes are thought to reflect a general trend, although weighing of this result will require additional measurement.

Economic empowerment of women can greatly contribute to sustained improvement in Household livelihoods and bring women more freedom to choose. It also gives women greater independence and enables them to provide needed support to each other and to their own projects. PGP will continue monitoring financial resources already provided by the WINGSPAN project and facilitate relations with potential financial partners

Networks in 13 out of 24 communes now hold regular meetings and finance the costs from their own resources. This represents a major achievement from the time of the survey in January of 2006. USAID/PGP agents provide technical support in planning and the use of financial tools to manage their small loans. This year, one network has been instrumental in defending the interests of women in Bougoula commune[5] (see box, below).

USAID/PGP staff has also been busy bringing networks, federations and individual women groups closer to the commune. This activity is carried out in all 152 partner communes and is detailed below, under Gender in Other Communes.

[5] Kati cercle, Koulikoro region

#### 1.6.2.3 Wingspan Listening Groups and Booklets

Two elements of Winspan's approach have been found to have had mixed results in partner communes: the use of windup radios by listening groups, and the use of Wingspan written materials by local groups. USAID/PGP found that the majority of listening groups were not functional. At issue are the availability of distributed radios for group listening and the availability of targeted content of interest to women as a group. A more comprehensive evaluation of the problem would be required in order for it to be address. Although USAID/PGP will continue to look for solutions to this situation, working at village level with numerous individual groups is beyond the scope and means of the program.

Booklets published by Wingspan and used in training were generally found unused and sometimes stored in the commune. USAID/PGP took special steps toward the distribution of what was stored and identified demand for the booklets in newly-literate women's groups and literacy centers in all USAID/PGP partner communes. Ten thousand booklets available in Bamako were distributed to regional offices for this purpose. Moreover, USAID/PGP helped networks develop new dynamics around the booklets, such as group reading during meetings.

### 1.6.3 Overall FY07 Gender Results

FY07 marked an evolution in USAID/PGP's activities targeting women in all 152 partner communes. Each partner commune works with a communal plan (PSP) derived from a self-diagnostic process. Partner communes have reviewed and updated their plans on a regular basis since they were first drafted by commune officials and civil society representatives. This year, when reviewing each PSP, a special emphasis was given to activities targeting women. The result is visible in better defined objectives and activities targeting women's integration into the communal sphere.

| Women's organizations in partner communes* | | |
|---|---|---|
| | **Number** | **Average per commune** |
| **Individual groups** | **2066** | **15.19** |
| **Networks and unions** | **155** | **1.17** |

*Based on 133 communes

Activities towards women's integration in the communal spere have progressed again this year. USAID/PGP was active on many fronts, including the promotion of women's participation in the electoral process. A part of Component IV strategy, USAID/PGP has contributed to efforts by the Committee for Increased Women's Participation in the 2007 to 2009 Elections. This 14 national committee members, including national NGOs, international NGOs, and development agencies, adopted two courses of action: establish regional committees to inform women and women's groups of upcoming elections,,help women leaders debate the mechanics and politics of running for office, and provide support to declared women candidates. USAID/PGP is involved in the first course of action. Three regional teams, Sikasso, Gao, Ségou and Koulikoro have facilitated the establishment of a committee. Agents in Koulikoro, Sikasso, Timbuktu organized special workshops on women and governance including the electoral process.

USAID/PGP also pursued efforts to build capacity, legal and communal recognition and networking among women's groups as well as participation by women in budgeting and other communal activities. Again this year there were dozens of examples of women's groups adopting statutes and registering legally, as well as examples of new networks created.

Participation by women in budgeting is also yielding results, with 66% of communes now reporting activities targeted to women included in their annual budget, up from 59% in FY06. Women are also increasingly involved in ensuring accountability. In Timbuktu, women's groups systematically attended public events organized around the commune's annual financial report.

**Women's participation in local decision making**

This year, as part of its Gender Strategy, USAID/PGP focused on the presence of women in communal councils and local CSOs. The results are encouraging, and contribute to inform the program toward the evolution of strategy.

| Women's representation in the council* | |
|---|---|
| % of communes with one or more women in a council commission | 55% |
| % of communes with a commission responsible for women's issues | 41% |

An analysis of data on women in the communal council indicates that women are almost always part of a commission, but generally not in the position of president or secretary. In a sample of 70 partner communes, it was found that in 13% of cases women occupied the function of commission president in one or more commissions. In two instances, a woman heads the finance commission. In no reported instance does a woman head or act as a member of the land tenure commission.

| Women's representation in local CSOs* | | |
|---|---|---|
| | % of organizations with one or more woman on the board | % of organizations with one or more woman in an executive board function |
| Health (ASACO) | 99% | 58% |
| CGS/APE (Education) | 65% | 34% |
| Water Users Associations | 89% | 67% |
| Cooperatives | 22% | 12% |

*Data covers the chief town only, based on 141 communes

The table above suggests an encouraging level of integration of women in CSO positions of influence. USAID/PGP has systematically encouraged the participation of women from 2004 onwards. Anecdotal evidence points to greater participation by women and youth in local boards as a result of USAID/PGP activity. The results, however, due to the length of each board's tenure, will take some time to reach statistical significance.

More inquiry is necessary in order to assess the level of involvement and affect women are having on their organizations. Women's participation in positions and functions traditionally reserved for men requires a change in mindsets on the part of both men and women. In the coming year, USAID/PGP will focus on the quality of women's participation in those instances where they are represented.

The emancipation of women and their ability to take a central role in local affairs is a gradual process, a product of both increased representation and increased economic activity. As women gain confidence and autonomy through increases and improvements in economic activity, their voices in deliberative bodies will become stronger and better received. It is important that these two movements, representative and economic, happen in parallel, reinforcing each other and gradually filling the gap between one half of the population to the benefit of the entire population.

Organizational strengthening, institution building, capacity building and economic empowerment activities mentioned above, all require PGP to work aggressively with other partners who invest in these areas at the regional and local levels.

**Score Four in Konna**

The local health association (ASACO) in Konna* invited the commune to witness the election of a new Board of Directors in January. Thanks in good part to the effects of USAID/PGP on local dialogue and involvement by youth and women's groups in local affairs, four women are now members of the board, as compared to none on the last board. "You've Come A Long Way, Baby."

*Mopti cercle and region

**Gender Works in Dire and Niafunké**

in direct response to women's expressed needs, all 14 of USAID/PGP's partner communes in Dire and Niafunké* communes have programmed investments for 2007. The investments come as a result of greater participation by women in the planning and budgeting processes, and are indicative of closer ties between communes and civil society organizations fostered by USAID/PGP activities. In all 14 communes, CSOs were consulted in this year's budgeting process. Moreover, in Dangha commune, 45 women leaders held a working session at the request of commune officials to develop a plan to raise awareness on the importance of civic registry for newborns. Registry facilitates access to schooling and later, voting, obtaining an ID card, and getting a small loan. It was impressed upon the participants that obtaining a birth certificate is free.

*Timbuktu region

**Women-Driven Dialogue in Bamako**

Over the last period, forums that bring together multiple actors in each of Bamako District's six communes have progressed substantially. Noteworthy is the fact that four of six forums have elected a woman as president. In the other two forums women were elected as vice-presidents. Should expectations be raised for urban dialogue?

## OBJECTIVE 2: MACRO-POLITICAL ENABLING ENVIRONMENT STRENGTHENED

At the end of each reporting period USAID/PGP conducts interviews with various key actors in the task environment to ascertain the level of advocacy and other activities conducted toward the end of consolidating decentralization. The USAID/PGP team, in conjunction with major partners, has reviewed the national competencies and resource transfers plan known as the *Schéma Opérationnel de Transfert des Compétences et Ressources*. In the process national institutions such as the *Haut Conseil des Collectivités* (HCC), the *Commissariat au Développement Institutionnel* (CDI) were consulted. Additionally, meetings were held with organizations such as: the *Association des Municipalités du Mali* (AMM); the *Association des Conseils de Cercles et de Régions* (ACCRM); the *Réseau Réussir la Décentralisation,* a natural resource management advocacy and lobbying group; and the *Réseau Plaidoyer et Lobbying* (RPL), an advocacy and lobbying network. USAID/PGP regional offices also conducted interviews with regional institutions and other organizations involved in decentralization.

Performance assessments based on the number of actions taken regarding competencies and resource transfers are not entirely indicative of progress made in the macro-political domain. The focus of the reports has gradually evolved to include PGP's own accomplishments, progress in implementing the national competencies and resource transfers plan, and various perspectives on how to implement reforms in the coming year. The report has been restructured to incorporate this evolution in format.

### 2.1. The macro-political environment in FY07

The dynamics of the macro-political environment this year were not conducive to progress in reform implementation. Key actors in the process were distracted by the 2007 presidential and legislative elections. Activities in the National Assembly and other national institutions were agitated, and little if any attention was given to decentralization policy and practice. Advocacy activities by USAID/PGP partners dwindled to a negligible level. Moreover, significant programmatic changes - detailed under the Program Management section of this report – lead to the reallocation of key resources to areas of the program that required immediate attention. This limited the team's capacity to intervene in the macro-political arena.

#### 2.1.1. Handling special issues

Given the situation at the macro level and in response to needs expressed by regional teams, USAID/PGP identified a number of issues concerning the institutional environment in which communes struggle and ensured that these issues were given special emphasis.

Two major issues surfaced. The first is an existing confusion regarding communal accounting procedures used by Treasury officials in managing the commune's funds. Often, public accountants use different procedures at different times. USAID/PGP's financial management team identified several anomalies in the Treasury agent's accounting practices during the numerous training workshops organized this year. Collaborating with GTZ, USAID/PGP involved the Treasury Department in seeking solutions to eliminate confusion about procedure and prevent irregular interpretations of procedure in the Treasury's field offices. This activity has not yet led to specific actions by the Ministry of Finance, however, will be pursued by MSI and GTZ in FY08.

The second issue concerns responsibility over tax recovery. Legally, this competency rests with the Revenue Department of the Ministry of Finance. Because of an apparent lack of resources in the field, the Department has shied away from its responsibility in these matters, leaving communes largely unassisted in tax collection. A briefing paper on these issues was prepared jointly by USAID/PGP and GTZ.

2.1.2. Working in partnership with other organizations

The macro-political environment will become friendlier to communes with the combined efforts of Mali's technical and financial partners and the support of Government. Among the actors concerned and involved in FY07, a few key civil society organizations were undertaking initiatives that when put together and followed up properly could yield impact. With this idea in mind, the USAID/PGP team became involved in activities initiated by other organizations and related to regional advocacy for the transfer of resources and responsibilities to the communes. USAID/PGP agents worked with NGOs *Réseau Plaidoyer Lobbying* (LBI) and *Cercle d'Information et de Réflexion* (CRI) *2002* to analyse the situation, make recommendations and prepare advocacy plans. USAID/PGP agents will fully participate in the implementation of these action plans in FY08.

2.1.3. Assistance to individual communes

The PGP staff continuously monitored the environment and provided technical guidance in cases where partner communes were involved in defending their interests in specific cases involving their relations with the State, more specifically in tax revenue transfers and dealing with special instructions.

2.2. Status of de-concentration and decentralization

2.2.1. Status of de-concentration

Decentralization law provides that administrative supervision of and technical support to communes are exercised by the Department of the Interior (*Tutelle*). Local representatives of the Interior Ministry (Prefects and Under Prefects) could not exercise these functions adequately due to certain weaknesses in technical capacity and means. During the reporting period, the GRM and partners made very important efforts to correct this state of affairs. In addition to increasing drastically the budget allocated to these offices in the 2007 budget, the following measures were implemented:

- Giving Prefects responsibility over data collection for performance indicators linked to the PARAD program
- Providing Prefects with new 4x4 vehicles to improve capacity to visit communes, exercise the administrative controls and provide assistance needed
- Increasing substantially salary levels and bonuses

2.2.2. Status of decentralization

Advances made are measured according to the national competencies and resource transfers plan. This section of the report covers the functioning of the inter-ministerial commission in charge of monitoring and promoting decentralization, the status of the transfers in education, health and water sectors and the status of transfers of human, material and financial resources.

2.2.2.2. The functioning of the inter-ministerial commission:

To ensure proper institutional implementation of the plan, participants in the 2004 National Workshop on Decentralization recommended the creation of a commission called *Comite de Pilotage du Transfert des Compétences et des Ressources de l'Etat aux Collectivités Territoriales*. This committee was established by the government and put under the chairmanship of the Ministry of Territorial Administration (MATCL). Regularity of committee meetings is indicative of the advancement of reform. The most recent MATCL report shows that this committee was only able to meet once this year, in September. In addition, the report also states that there are difficulties in implementation of decisions made during previous meetings.

2.2.2.3. Human resources

Rural and urban communes all suffer from the absence of qualified staff. Various attempts were made to improve that situation, as described in previous reports. Major resources were, and are, invested to train commune's officials and staff, with no apparent significant impact. In the majority of cases, elected officials have difficulty absorbing what is thought because of their level of schooling. Commune technical staffs, which are trained often, leave the communes for more secure and lucrative positions. Communes cannot offer a decent salary and/or pay staff in a timely fashion. No significant progress was made during the reporting period. Progress will only occur when the conditions are created that attract qualified and experienced people.

2.2.2.3. Transfer of Material and Infrastructure resources

The national competencies and resource transfers plan's designers recommended the transfer of infrastructure and resources in education, health and water sectors in January 2007. To achieve that, the central commission had created regional bodies and put them in charge of surveying the quantity and quality of infrastructure. These commissions have been working and reporting to the central commission. The table below shows the result of their work.

| **Transfers of infrastructure to communes in FY07** | | | |
|---|---|---|---|
| **Region** | **Schools** | **Health units** | **Water systems** |
| District | | 02 | |
| Sikasso | 152 | 128 | 144 |
| Segou | 177 | 81 | 72 |
| Mopti | 59 | 05 | 80 |
| Tombouctou | 05 | 01 | 46 |
| Kayes | n/a | n/a | 53 |
| Koulikoro | n/a | n/a | 98 |
| Gao | n/a | n/a | 23 |
| total | 393 | 217 | 531 |

There is progress being made in this area of transfers, although it is uneven from one region to the next. It is however difficult to appreciate the level of progress without a reference point. It is even more difficult to understand why these kinds of activities take a long time to get implemented once state agencies in the field receive the marching orders from their respective ministries.

2.2.2.4. Transfer of Financial resources

In USAID/PGP's FY06 annual report it was mentioned that the government had made the decision to conduct a study by the state agencies to determine the level of needs for financial resources on the part of communes in order to determine a method of allocating resources between the central and the local levels. To determine that, it was decided to evaluate the resources needs of communes. This has seen a beginning of implementation during this period. The *Programme d'Appui à la Reforme de l'Administration et à Décentralisation (*PARAD) completed a study in 2006 that shows how the state could allocate resources between itself and the communes. This study is waiting to receive a beginning of implementation.

One major advance that was achieved consists of the effective transfer of the management of the education infrastructure funds of the *Programme d'Investissement du Secteur Education* (PISE) from the Ministry of Education to the MATCL through the *Agence Nationale d'Investissement des Collectivités Territoriales* (ANICT) which manages the allocation of investment funds to communes. This change in the management of education infrastructure funds will enable the communes to have more control over which investments are made.

3. Analysis

Based on the opinions expressed during interviews with decentralization actors, the following results can be identified regarding the macro-level:

- The domain of the transfer of resource and responsibilities is not making significant advances. At best, things appear stagnant. The PARAD has completed a study that has not yet led to any decisions. Most of the actors believe there is a need for a strong political push to make things move in the desired direction.
- Elected officials continue to be passive, waiting for an event that would “revive” the process.
- Although chaired by the MATCL, with the highly committed staff of the *Direction Nationale des Collectivités Territoriales* (DNCT) serving as *secrétariat*, the Inter-ministerial commission was only able to hold one meeting during the past reporting period. This is clearly due to the focus of the ministry on managing the rebellion in northern Mali and managing all the phases of the 2007 presidential and legislative preparation. This state of affairs clearly shows why it could not attend to its regular businesses.
- There was some progress made in the transfer of funds to the decentralized entities in the area of education. The *Programme d’Investissement pour le Secteur Education* (PISE) funds have been transferred to the ANICT. The communes have been notified of the availability of these funds and they are using them for school infrastructure purposes.
- The “de-concentration” sector is progressing at a very fast rate and gaining more power in the governance process thanks to the changes made by the PARAD program. As planned in the last year budget, allocations were made to Governors and Prefects for local development purposes. This is however creating an unhealthy state of dependence of elected officials on state officials.
- There were no significant advances made in the area of decentralization. Very little was achieved in terms of progress.

In spite of the challenges faced during the current reporting period, the outlook for component III in this final year of implementation appears improved. First the efforts made by the GRM and partners to increase the capacity of the *Tutelle* and to state services have strengthened state agencies and technical units at the local level. This development should enable them to conduct in an adequate fashion their assigned role of control and technical assistance and meet their responsibilities in the process of assistance to communes. If they play this role in an adequate fashion, decentralized entities will benefit in many ways. They will receive the assistance needed and the functioning environment will be improved. Secondly, recent developments in the political realm and in civil society organizations are also causes for hope.

The overall political climate is changing. The presidential elections campaign has initiated strong debate over the governance of public affairs and the legislative elections have resulted in the creation of a clear opposition in the parliament that has started playing its role. Many new members of parliament and the HCC are very familiar and supportive of the USAID/PGP approach that could be counted upon to help with advocacy and legislative reforms. These MPs are members of the opposition parties as well as the majority. Civil society organizations like the have laid foundations for continued work in the domain. They have developed their own advocacy strategies and programs and voiced their conviction that the negotiated approach does not work and that more forceful lobbying was needed at this point in the process.

These developments constitute major assets that PGP component III management will move upon. PGP will  continue with elements of the program that were initiated during the second and third years of the PGP component III program implementation that involved the above mentioned institutions and their members.

# C. GLOBAL DEVELOPMENT ALLIANCE

The Shared Governance program was actively involved, in synergy with other USAID teams, working with partners and local actors during the implementation of two major Global Development Alliance (GDA) partnerships projects initiated by USAID. The first of these PPP partnerships is the one entered into with Coca Cola. The second PPP activity undertaken involves USAID, the Morila gold mine company and the Commune of Sanso. These two partnerships have been established for the benefit of populations in Malian communes with those communes being the main actors in the process.

The USAID and Coca Cola GDA

As part of the Public Private Partnership (PPP) between USAID/Mali and the Coca Cola Company, USAID/PGP contributed to the Communal Water Development project in Mali, implemented by Associates in Rural development (ARD) under the West Africa Water Initiative (WAWI). WAWI and PGP staff worked together to continue implementation of the USAID/Mali-Coca Cola Partnership, mainly in the District of Bamako and the region of Timbuktu. In Timbuktu, two USAID/PGP local partners received funding for the installation of solar Pedalflo pumps. USAID/PGP and WAWI staff worked jointly to facilitate the installation of water distribution systems in the two regions. WAWI and USAID/PGP assistance consisted of:

- Project identification: In both Bamako and Timbuktu, the two parties worked with communes to identify projects in the commune development plan. Where there were none, they assisted the communes in facilitating a process of revising the PDESC.
- Conduct of social mobilization: The two parties were heavily involved in social engineering and governance aspects of the water systems before and after installation. This activity aimed at creating local ownership of the project, local mobilization to generate local contributions and ensuring that local partners take charge of all aspects related to maintenance and depreciation.
- Installation of project management committees: In all the communes of the District, USAID/PGP and WAWI worked to help install communal monitoring and management committees. This is a key element that ensures participation and accountability on the part of all actors.
- Monitoring of projects: The two parties conducted monitoring visits to project sites to assess the state of implementation. They shared experience and advice on the technical and governance aspects of the program with community leaders and the stakeholders.
- Reviews of implementation: The teams facilitated the installation of periodic review sessions, participated in sessions where the three GDA parties reviewed progress and challenges, and agreed on future steps to be taken.
- Preparation of periodic reports: The two parties also prepared and shared periodic reports on various progress achieved by the program. At USAID/Mali's requests, USAID/PGP prepared very detailed reports outlining the status of the solar pumps in PGP partner communes.

**The Sanso GDA**

USAID/Mali entrusted MSI with the management of their partnership with Morilla Mines. MSI is assisting the latter in their sustainable development assistance to the communes where the mine is located. USAID/PGP staff spent a considerable amount of time and effort on the preparation, set-up and management of the USAID/Morila SA/Sanso partnership. Activities included:

- Budget preparation: the CRADE partner prepared a budget and a program and submitted it to MSI. After careful review, MSI approved it and used it to prepare the partnership protocol document binding the two parties together.
- Formalizing the relationship USAID/PGP-CRADE: USAID/PGP and CRADE entered into a formal agreement referred to as a partnership protocol. This document outlines the basic elements of the partnership in the implementation of the GDA.

- Design and Installation of a management structure: With the assistance of PGP, the three partners designed and installed a management structure that will monitor and orient partnership activities.
- Preparation of participatory diagnostic of commune's governance: Under the leadership of the Sanso mayor, the USAID/PGP/CRADE project coordinator facilitated the participatory diagnostic of commune governance issues, problems, opportunities. The CRADE activity coordinator first prepared individual leaders and then brought them together to address issues and explore solutions.
- Preparation of the annual work plan: The Coordinator of CRADE facilitated the development of a plan for the duration of the partnership period. This first draft was reviewed and revised by the regional and central MSI office staff. The Coordinator and the partners worked together to produce an annual work plan. This was submitted to and reviewed by all partners and approved for execution.
- Preparation and finalization of the semester report: The PGP/CRADE project coordinator based in Sanso produced the first draft of an activities and finances report. The three partners reviewed the report, finalized it and submitted it to the Sanso mayor and the managers of the Morilla mine.
- Baseline data collection: NGO CRADE supported by the USAID/PGP regional coordinator conducted a baseline data collection. The baseline data is available to use for monitoring purposes.
- Field monitoring visits: USAID/PGP staff conducted numerous field visits to the Sanso commune for the set up of the partnership and for the design of various steps of the project.
- Provision of technical assistance in financial management: USAID/PGP component II technical staff provided assistance to the commune as part of the USAID contribution to the GDA execution. The most notable of these contributions was the assistance USAID/PGP component II provided in the diagnostic and the design of a work plan to address the accountability challenges identified. This work plan is currently being implemented. USAID/PGP will conduct occasional reviews of the status of implementation and provide on the job assistance to reinforce the partner's capacities.
- Provision of facilitation services and technical assistance to revise the commune development plan and insert the partnership plan elements: The newly revised plan was submitted to the Commune council, which approved it. This process provides legitimacy to the partnership.
- Reporting: NGO CRADE prepared and submitted two semester reports to the supervisory committee of the partnership. These reports were prepared in collaboration with the World Education Team.

In addition to enhancing and providing higher visibility to the governance function in the concerned communes and showing the relevancy of the governance function, these two partnerships were highly beneficial to the consolidation of the democratic governance process in the commune.

# D. MONITORING AND EVALUATION (M&E)

**Operational Plan Indicators**

In January 2007, as part of the implementation of USAID's Operational Plan planning and reporting system, USAID/PGP identified together with USAID, a series of indicators and targets. Indicator data is compiled from two sources: the Program's Performance Monitoring Plan (PMP), and the Program's Operational Indicators (OI). The PMP was adopted at the project onset, with baseline data collected in 2003 and updated in September 2004. PMP data is governed by the protocol submitted to USAID/Mali at project onset as part of the PMP.

The operational indicators are more detailed indicators developed internally, inspired from the PMP and used to track performance more precisely each semester. In response to the need to assess data quality for the Operational Plan Indicators, MSI developed and presented to USAID/Mali a Protocol for Data Quality, annexed to this report. The Protocol governs the programs operational indicators data. All data reported to USAID are now governed by a protocol.

In preparing this report, MSI has also verified the original data and calculations that served as the basis for setting FY07 targets. In a total of 2 instances, the calculations and/or data proved erroneous. All data and calculations used to provide FY06 baseline and FY07 targets were verified. This insures that FY07 achievements can be correctly assessed and that projections for FY2008 will rest on a solid base. The FY07 Achievements Table, below, provides FY07 achievements against targets. Each deviation from the target is explained on the pages that follow the table.

The following considerations apply to the data presented:

- Achievements for FY06 are based on the Program's 250 phase I partner communes. In order to set FY07 targets, data based on 250 communes was projected onto 150 communes using a simple calculation (VALUE/250x150)

- For data quality assurance purposes, data that does not meet criteria is rejected, meaning that the data presented is projected over 150 communes but not necessarily coming from all 150 communes. The number of communes from which the data is coming is specified for each indicator

- Although data is also collected for the communes of Sanso and Domba under the Program's Global Development Alliance (GDA) activity, achievements are reported over 150 and not 152 communes. Considering Sanso and Domba only began activities this year, data from the two is not compatible with that from the Program's 150 communes, in which activities began in 2004 and 2005.

USAID/PGP has proposed targets for FY08, presented in the Preliminary Report for FY07, annexed to this report. We look forward to review these targets with USAID prior to their approval.

**Performance Monitoring Plan Data**

USAID/PGP has continued to collect data under the program's initial PMP. Data for FY2007 was collected in all of the program's partner communes in September. This year, data processing was transferred from MSI's Washington office to USAID/PGP in Bamako.

Results under PMP are set against targets revised with USAID in FY2006. They are presented in the Performance Monitoring Plan Results Table, below. Steps were taken throughout the process to insure

data quality. A data quality assessment was conducted by USAID/Mali staff on the PMP in August of 2006.

The data presented this year is based on 122 communes. Twenty-eight questionnaires were not considered because of an insufficient number of qualified (below 3). Results derived from commune financial data are reported on a base of 120 communes. Thirty communes had variations upward of 500,000 FCFA ($250USD) between budget data collected in FY06 and FY07, and were not considered in calculations.

## TABLE (15): PERFORMANCE MONITORING PLAN RESULTS TABLE FOR FY07

| Indicator No. | Indicator | PGP Baseline | Overall Results FY06 | USAID target FY07 | Overall Results FY07 | Results in Year 1 Communes | Results in Year 2 Communes |
|---|---|---|---|---|---|---|---|
| S03 | % of Communes with Partnerships that Increase Services | 61% | 61% | 47% | 71% | 79% | 67% |
| | S03 Education | | 35% | | 43% | 54% | 39% |
| | S03 Health | | 28% | | 40% | 56% | 33% |
| | S03 Water | | 22% | | 33% | 41% | 29% |
| | S03 NRM | | 17% | | 16% | 18% | 14% |
| | S03 Economy | | 33% | | 44% | 41% | 46% |
| S04 | NRM in Commune Development Plan | none | 94 % | none | 98% | 100% | 98% |
| IR 1.1 | % of Communes where annual budgets reflect CDP priorities | 56% | 66 % | 71% | 90% | 92% | 89% |
| IR 1.1.1 | % of communes in which communities participate in communal development planning | 53% | 94% | none | 91% | 90% | 92% |
| IR 1.1.2. | % of communes in which communities participate in preparation of the communal budget | 27% | 42% | none | 48% | 51% | 46% |
| IR 1.2 | % of Communes that Follow Legal Procedures in Executing Annual Budget | 14% | 31% | 30% | 24% | 21% | 25% |
| IR 1.3 | % of Communes that have addressed development needs through joint action | 40% | 53% | 70% | 59% | 72% | 53% |
| | IR 1.3 Education | | 27% | | 33% | 38% | 30% |
| | IR 1.3 Health | | 22% | | 27% | 38% | 22% |
| | IR 1.3 Water | | 20% | | 25% | 36% | 19% |
| | IR 1.3 NRM | | 16% | | 19% | 23% | 17% |
| | IR 1.3 Economy | | 28% | | 34% | 44% | 30% |
| IR 1.4 | % Communes Leveraged Resources From Private Sector For Public Goods/Services | 7% | 2% | 9% | 6% | 10% | 4% |
| IR 1.5 | % of Communes with Participatory CM Mechanisms | 64% | 86 % | 60% | 89% | 90% | 89% |
| IR 1.6 | % of Communes Where Tax Collection Increases Yearly | 44% | 59% | 51% | 53% | 46% | 53% |
| IR 1.7 | % of Communes That Consulted CSOs During CDP Process | none | 97% | none | 97% | 100% | 95% |
| | IR 1.7 Education | | 80% | | 78% | | |
| | IR 1.7 Health | | 75% | | 75% | | |
| | IR 1.7 Water | | 24% | | 21% | | |
| | IR 1.7 NRM | | 33 % | | 28% | | |
| | IR 1.7 Economy | | 67% | | 72% | | |
| | IR 1.7.1: % of Communes where CSOs/CBOs consulted during annual budget planning | none | 64% | none | 97% | 97% | 96% |
| | IR 1.7.1 Education | | 44% | | 83% | | |
| | IR 1.7.1 Health | | 42% | | 80% | | |
| | IR 1.7.1 Water | | 11% | | 21% | | |
| | IR 1.7.1 NRM | | 16% | | 25% | | |
| | IR 1.7.1 Economy | | 35% | | 60% | | |
| IR 1.8 | Number of Written NRM Agreements in Target Communes | none | 28 | none | 117 | 61 | 56 |

| Indicator No. | Indicator | PGP Baseline | Overall Results FY06 | USAID target FY07 | Overall Results FY07 | Results in Year 1 Communes | Results in Year 2 Communes |
|---|---|---|---|---|---|---|---|
| IR 2.1 | Number of national level advocacy activities on transfer of responsibilities to communes | N/A | 36 | 35 | | N/A | N/A |
| IR 2.2 | Number of national level advocacy activities on transfer of state revenues to communes | N/A | 34 | 35 | | N/A | N/A |
| IR 3.1 | % of communes where women are represented on the management bodies of basic social services | N/A | 5% | N/A | N/A | N/A | N/A |
| IR 3.2 | % of Communes where activities target women's needs | 36% | 59% | 55% | 66% | 74% | 63% |

# E. PROGRAM MANAGEMENT

Major modifications were made to the implementation structure in September of 2006 following changes in funding levels. These changes included the departure of CARE International and Save the Children and MSI's commencing direct supervision and grant management of 10 remaining partner NGOs. They were managed by MSI without significant loss of personnel or disruption of activities.

The period also saw the departure of the DCOP in charge of finance and administration and M&E, as planned for the end of the base period. This situation required the restructuring of the admin/finance department and the shifting of M&E responsibility of a new DCOP in charge of programs and M&E. MSI now handles grant management for 10 NGOs, up from one NGO under the previous operating structure.

In the field, a new regional coordination was created in Gao, covering Gao and Kidal. The regions were previously supervised by the Koulikoro regional coordinator, based in Bamako. MSI also contracted a new NGO partner to handle the 3 communes of Kidal. This was done in the perspective of possible program expansion in the North.

Building a new administrative and program team:

With the loss of quality administrative, financial and program support services from the program's two main subcontractors CARE International and Save the Children, and the loss of the DCOP/Senior Administrative Officer, MSI was faced with the challenge of building a new administrative and program management team and reinforcing capacity. The senior MSI management team made the necessary adjustments including shifting responsibilities to existing staff and conducting staff recruitment.

Management of sub-grants:
The management of sub-grants awarded to NGO partners for program implementation includes negotiation of protocols for sub-grants agreements, assistance in program and budget development, periodic review of funding requests and the review and approval of program and financial reports. MSI went from the management of one sub-grant to that of 10 without the financial capacity to do make additions to existing personnel. Overall, the team adjusted very well and produced the support needed for the task.

Financial reporting
The loss of the administrative support from the two subcontractors and the change in personnel at the HQ level resulted in a considerable increase in workload for existing MSI administrative and accounting team in Bamako. This team, and regional coordinators, succeeded in establishing a management system and meeting the new responsibilities that were thrust upon them.

Building a new M&E capacity

For the first three years of the program, the data crunching responsibility rested with MSI in Washington. This responsibility has been transferred to the project office in Bamako. MSI Bamako built local capacity to conduct data processing. PGP now has the capacity to do all the tasks needed in the handling of data and local personnel is gradually taking charge of all the aspects leading to the production of the indicators report.

Organization of quarterly review sessions
The MSI country team was able to organize quarterly review sessions at all levels of the organization. At the central level, all the project staff has come together at regular intervals during the year to review implementation of option year 1 activities and plan activities for the next period. Similarly, at the regional levels, the teams also met monthly and quarterly to review implementation and make adjustments to work plans.

Preparation of technical and financial plan for option year 2
The MSI country team prepared and submitted a technical and financial plan for the option year 2 program in two steps. MSI prepared and submitted a first draft to the Mission. The Mission reviewed the proposal and requested clarifications. MSI reviewed the requests and responded with a second draft of the proposal. The second draft was approved.

Conducting program monitoring visits
With the creation of a new program region in Gao/Kidal as well as staff turnover, the central coordination chose to conduct special field trips to provide technical and administrative support to the regional teams. This was carried out in Gao in June of 2007, with the participation of the program's agents from Kidal.

Developing a new partnership with Peace Corps
Under the leadership of USAID/Mali's Communications and Governance Team, MSI and Peace Corps were able to enter into a partnership. Peace Corps positioned a volunteer in the USAID/PGP central office, attached to the gender and governance component of the program.

Managing GDAs
The first option year implementation workload was increased with management of a second GDA program. This activity is detailed in the GDA section of this report.

Preparation of FY 08 annual plan
The team prepared and submitted an annual work plan for fiscal year 2008. This work plan is a document that focuses on the exit strategies from communes with activities that consolidate accomplishments and take steps to correct weaknesses in order to ensure sustainability of the basic local governance systems that were installed as part of the efforts of the last four years.

Preparation of FY 07 annual report:
MSI local staff, with the support of MSI headquarters, prepared an annual report that gives a complete account for the activities undertaken during the past year in each project component and gives a detailed account of the successful accomplishments documented during the same period.

# F. OBSERVATIONS AND RECOMMENDATIONS

## CHALLENGES, OPPORTUNITIES AND LESSONS

Results from the fourth year of activity confirm the program's significant contribution to the consolidation of decentralization in Mali, and underline challenges to current achievements. USAID/PGP is a unique and important part of Mali's national policy framework for decentralization. This framework includes financial resources contingent with the transfer of competencies, effective state administrative supervision of elected councils, access to technical support from state services, and favorable sector policies and practice.

While challenges are very real, there are reasons for optimism. There is local demand for the kind of support USAID/PGP is providing. Participation and accountability are taking hold in many communes. Development programs are increasingly mindful of local governance. Increased synergy at all levels between the GOM and its financial and technical partners will help insure that what USAID/PGP partner communes have built is consolidated into a global institutional environment conducive to efficient and accountable management of local affairs by local actors.

This part of the report shares the challenges identified and the opportunities that are emerging and could lead to the consolidation of achievements.

## CHALLENGES

At all levels and all stages of the process of facilitating the consolidation of decentralization and local governance, the implementation team has continuously been faced with major challenges. Some of the original challenges faced at the beginning of the program were compounded this year by the presidential and legislative elections and rebellion in the North.

Financial management and accountability

Transparent financial management is a key factor in building confidence and rebuilding civic responsibility in most countries. The financial management environment is plagued with institutional inadequacies and lack of incentives at individual levels, creating an environment not always supportive of the principles of transparent resource management and democratic governance. While USAID/PGP support proved instrumental in the establishment of sound accounting practice and enabled accountability to be introduced in partner communes through timely public reporting, important issues remain and will continue to have an impact on tax recovery and transparent practice.

Resources on record for any given year often do not represent the totality of taxes collected. Reasons include geographic distance and administrative hassle in the management of the commune's funds by the state treasury office, leading some communes to manage part of their resources outside the legal system; difficulty in controlling the collection of market and other fees levied by the commune; irregular use of proper official documentation in the collection of the development head tax (TDRL), opening the way for abuse by village heads and other officials.

Weakness in the state's administrative supervision of communes can combine with the issues above to hamper the establishment of credible and sound commune management. This situation, covering areas beyond the current scope of USAID/PGP, has the potential to sap the foundations for efficient decentralized management of the common weal by fueling mistrust among constituents and development partners. The promising achievements of the program's partner communes are conducive to sound commune management and require that these issues be addressed.

Economics, politics and conflicts of interest

One of the major challenges facing the USAID/ PGP team in the promotion of sound practice in the decentralization domain is that many elected officials bridge the political and economic domains. Local elected leaders retain their economic activities while in office and receive only token indemnities. This system may work in a prosperous environment but is conducive to the private exploitation of the public domain in a poorer environment. It does not work when people live at the border of Maslow's lower echelons of needs and operate in a situation with insufficient state administrative supervision. It leads many elected officials to use their office for private gain. Given the large scale impunity that can be observed today, the only factor that can help refrain certain elected officials leaders from turning political office into private enterprise are regular elections. This state of affairs is an open door to predation of public resources.

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Weakness in administrative oversight

State agencies in charge of administrative oversight and accounting for communes do not exercise this role adequately for reasons many claim are outside of their control. Irregularities and mismanagement by elected officials generally do not lead to sanctions or judicial processes. This has a major impact on financial management and local resources mobilization in the form of taxes and fees. The advent of an environment with greater local citizen involvement and control is necessary, but cannot be sustained unless complaints by citizens and council members lead to action on the part of the state.

Elections year disturbances:

The reporting period was a big election year in Mali. Three elections were organized during the period. First amongst these was the election of national councillors for the *Haut Conseil des Collectivités* (HCC) in March. This was followed by presidential elections in April and legislative elections in July. In young democratic countries like Mali, elections can take precedence on and disrupts the normal functioning of institutions and programs. Local elected officials and key actors are generally leaders of political parties and are expected to get involved in election campaigns. They devote most of their time working on mobilizing members and campaigning for the party or are themselves candidates to higher office. Moreover, campaign contributions are sometimes allegedly made at the expense of communal finances.

At the national level, the MATCL is the main election organizer. Because of the sensitive nature of elections, the Ministry puts other activities on hold during the months required to prepare and run an election. This puts many things on hold at national, regional and communal levels. This state of affairs has had a major impact in efforts to collect taxes and the local level and in efforts to pilot reform at the national level.

The rebellion in the North

Rebellious activities in the northern part of Mali have had two negative impacts on the performance of the program in the regions of Gao, Kidal and Timbuktu. On the one hand, because the MATCL was the main negotiator with the rebels on top of preparing the elections, MATCL officials became difficult to reach and to work with at all levels. The second negative impact was the difficulty in access to northern communes by USAID/PGP staff due to travel cautions and restrictions. This resulted in the inability of regional and central staff to provide needed guidance and capacity building support to the NGO teams working in some areas.

The functioning of the inter-ministerial committee

When it was proposed to create an inter-ministerial committee at the 2004 national workshop on the transfer of resources and responsibilities, there were expressed concerns about the capacity of such a body to function unless it is established where real power rests and can command respect from lower levels. Fears about the inter-ministerial committee capacity to perform are being validated. The results achieved by this committee so far are not encouraging.

## OPPORTUNITIES

The challenges stated above should not be construed as major sources of failure or absence of will to continue addressing the important issues that subtend desired changes. They are part of the dynamics of development management and co-exist with opportunities that, when addressed with a proper response, open promising avenues.

Demand for support

PGP program implementation has begun to vigorously raise consciousness that governance can and needs to evolve at the grassroots and local levels, and be inclusive of the disadvantaged and marginalized. Various civil society organization leaders and others are standing up and expressing the need for some strong support to enable them to be part of the governance of their areas of activity. Small merchants want to be involved in the management of markets. Parents are requesting more say in the future of schools. Women's organizations have stood up and fought for positions in political parties during the last elections. These brave women are realizing that their advancement will greatly depend on their economic power. These individuals and groups deserve the continued strong support needed in the attempt to change the governance system and render it more sensitive to citizen's needs.

Political development

People spoke and demanded change. Nearly 80% of the parliament's members are new members and among them are some of the most radical politicians in the country. Following that development and responding to popular demand, the newly reelected president of the country has issued strong statements against mismanagement and in favor of democratic governance. The people of Mali have expressed their desire for change. The political dynamic has now moved beyond the consensual approach to one with a declared opposition in the National Assembly. These developments should facilitate the advent of political debates on various important national issues including the decentralization process in Mali.

The can-do approach of the government

Although using an elitist approach, the current president and his government appear committed to a practical approach to development that proposes to resolve severe development problems with the building of numerous infrastructures for development. The building of a badly needed infrastructure creates an environment for building governance around real concerns that populations have. If it is possible to influence this approach and insert in it a simultaneous consideration for a proactive approach to governance issues that could create problems for the effective returns on investments, the coming year could be a very productive one for the advancement of democratic governance in particular and in general the development that is owned and sustained by the people of Mali. The challenge is to build that connection between what government plans to do for development and the democratic governance approach.

Partners' programs

Big development programs like the president's program called *Programme de Développement Economique et Social* (PDES), the "*Cadre Stratégique pour la Croissance et la Lutte Contre la Pauvreté*" focused on fighting poverty, and the Millennium Challenge corporation have been newly designed and introduced for the economic development of the country.

With strong support and backing from the USAID/Mali Mission, USAID/PGP could seize the opportunity and offer the GDA partnerships model as a success in synergy and partnership. These are currently yielding very promising results in Sanso according to Mine Management and the Mayor. USAID/PGP could introduce the same kind of tripartite approach to the management of these big programs in the communes where PGP operates. This could start with the USAID/MCC/*Office du Niger* communes of

the Alatona zone. This will improve the coordination of efforts, consolidate local governance and improve the delivery of badly needed services to populations in a more effective and efficient way.

# G. LESSONS

The major lessons learned were presented during the annual review of the democracy and governance and communication programs of USAID held in April 2007. The full report is available and was distributed during the session.

# H. CONCLUSIONS

The MSI team started the implementation of the first option year highly handicapped by the drastically reduced funding capacity due to budget cuts and major shifts in the currency rate, the loss of the very valuable technical and administrative support from SAVE and CARE, two of the most professional American PVOs in the business. The task of continuing implementation without the original partners was a momentous challenge for the MSI organization left alone. With the support of the USAID D/G team, that of the previous partners, and the dedication of the central and the regional teams and the personnel of the partner NGO organizations, the challenge was met.

Following the building analogy used in the first year of implementation of the program, it is safe to say that after laying the foundations in the first two years of implementation, after building the walls and putting the roof on the walls in the third year, PGP has began the process of making the building habitable to all who claim space for occupation. All the communes' actors have been touched by the intervention and all of them have started playing their roles as expected in the program proposal. This role playing and the interactions that follow are bringing to the forefronts the real challenges that need to be confronted and the real opportunities that will help advance the case of decentralization and local governance.

# F. OUTLOOK

## OVERVIEW OF IMPLEMENTATION IN FY 08

FY 08 activities will include preparation of the program close-out. Activities will focus on insuring the sustainability of the gains made during the past four years and preparing the way for a possible follow-up program.

The first activity will consist of negotiating and finalizing a sustainability plan for the last year of the program. This will consist of a commune by commune review of the accomplishments and challenges and agreeing on what could be consolidated and maintained during the last year.

The second major activity will consist of negotiating and inserting the communal Strategic Partnership Plans (PSP) into the commune development plan. This will be reviewed, revised, deliberated upon and inserted as a legitimate component of the plan that is piloted by the commune council. This will also cover the search for the partners needed to continue implementing local governance improvements; it will become the responsibility of the Commune Council and the mayor's office.

The third activity aims at empowering the communes and/or civil society structures and staff will consist of working to insert each USAID/PGP program element into the various legitimate bodies of the commune that have responsibility for the activity.

Fourth, considering that people make institutions work and sustain reform, the teams will work to strengthen the capacities of the institutions and individuals to whom the functions were transferred. USAID/PGP will design and conduct training sessions to maintain the achievements that constitute the foundations for the next phase. As much as possible, reference documents will be created and left behind for partner's reference and use after the fifth year.

Fifth, the teams will focus on dialogue as a main dimension of shared democratic governance. USAID/PGP agents will work to institutionalize dialogue in existing bodies. Agents will facilitate the reinforcement of the existing consultative mechanisms and/or institute legitimate ones that are valued by the actors and that do not necessitate the creation of recurrent costs that could not be handled locally.

### 1. SUMMARY OF PGP ACTIVITIES FROM FY08 ANNUAL PLAN

#### 1.1 First semester activities

***Objective 1: increased participation of key communal actors in democratic governance increased in targeted communes.***

- USAID/PGP staff will facilitate the finalization of an ownership and sustainability strategy and a plan per commune.
- USAID/PGP will provide assistance to communes to help revise commune development plans for general purposes and for the specific purpose of inserting the Strategic Partnership Plan (PSP) and governance sustainability and ownership plans.
- USAID/PGP staff will promote the conduct of sessions to report the quantitative data results to actors of the partner communes.
- USAID/PGP will assist with the organizing of a commune-wide approach to synergy building that will ensure support for governance activities.
- USAID/PGP will provide support to communes and strengthen the capacities of sustainability mechanisms introduced in 2004 and 2005 for PGP implementation purposes.
- USAID/PGP will provide assistance to communes in the preparation of the fiscal year 2008 budget.

- USAID/PGP will provide assistance in the preparation of the of the fiscal year 2007 financial report referred to as the “compte administratif (CA).
- Component IV and the rest of USAID/PGP team will provide assistance in the strengthening the capacities of women leaders
- Component IV staff will continue monitoring the funds allocated to the women’s associations for income generation purposes.
- Component IV will assist women’s organizations in development of their capacities to network and to raise funds from other financial sources.
- The training and operations manager will organize all tools and documents produced during the program implementation and create reference documents that will be distributed to all the actors in the partner communes.
- PGP will build a self-reliant autonomous capacity to conduct all aspects of monitoring and evaluation. Staff will be trained in the management of the system at all levels.

***Objective 2(IR2) Macro-political enabling environment strengthened***

- PGP component III staff will initiate the review/evaluation of the status of the transfers of resources and responsibilities. This will be conducted with key selected allies that are key stakeholders in the transfers.
- Component II staff will facilitate the resumption of the activities of “*cadre de concertation” that was created by institutions*
- Other Components managers under the leadership of component III staff will continue collecting and addressing new special problems/issues that constitute problems for the consolidation of the decentralization process

***Program management activities***

- USAID/PGP staff will continue assisting communes with the Development and implementation of an exit strategy
- USAID/PGP staff will prepare and participate fully in the evaluation fot the PGP program planned for the first semester of FY 2008.
- USAID/PGP team will help with NGO partners to finalize their programs and budgets and formalize the relationship.
- The USAID/PGP administrative staff will take all steps to manage Managing sub-grants
- The USAID/PGP team will organize the first and second quarterly review sessions for fiscal year 2008.
- The USAID/PGP team will collect data and prepare the first semester report

**1.2 Second semester activities**

***Objective 1 (IR1): increased participation of key communal actors in democratic governance in targeted communes:***

- USAID/PGP staff will continue facilitating the implementation of the exit strategies in partner communes
- USAID/PGP staff will continue building the capacities of commune staff and civil society organizations in service delivery areas.
- USAID/PGP staff will also continue training civil society organizations in financial management reports reading.
- Component II staff will and the PGP team will facilitate and assist communes in the preparation of the fiscal year 2009 original budget.
- USAID/PGP will continue action training sessions for the consolidation of all systems developed and installed during the life of the projects.

- USAID/PGP component II and regional teams will continue providing assistance in the implementation of resources mobilization strategies.
- Component IV team and regional staff will assist women's organizations in the conduct of their capacities building plans in entrepreneurship, leadership, literacy,

***Objective 2(IR2) Macro-political enabling environment strengthened***

- USAID/PGP will start implementing of the recommendations of the special review/Evaluation that was conducted during the first semester on the status of the transfers of resources and responsibilities.
- USAID/PGP staff will continue supporting the agenda of the revived "*cadre de concertation".*
- USAID/PGP staff will continue building alliances and addressing new and special problems/issues that are key part of the decentralization process.

***Program management activities***

- The USAID/PGP administrative staff and regional teams will continue managing the sub-grants.
- The USAID/PGP administrative and program staff will organize the third and final program review sessions
- The USAID/PGP team will organize final data collection and final report preparation
- The USAID/PGP administrative staff will prepare the necessary documents and organize disposal of project assets

## Annex I

## PGP strategy on Gender

### Commune Partnership

Keeping in line with USAID/PGP's basic approach, women's participation in economic, political, and public life will include partnership with the communal council and mayor. USAID/PGP agents will help women reach a level of consideration equivalent to their demographic weight as constituents and to the group's potential in local economic development, service delivery, and natural resource management. According to this approach, commune officials, each at their own pace, will evolve in the way women as a group of constituents, is viewed and valued. This evolution will take place through the reinforcement of women's representation at the chief town, through the increase in relations with commune officials that stems from greater representation, and through increases in women's relative weight in economic activities and local CSOs.

### Organization and representation

Building on USAID/PGP and WINGSPAN achievements, agents will work to help strengthen networking and collaboration between women's groups through the establishment and reinforcement of existing and new networks of village-level groups. Success will be a factor of the will and ability of village-level groups to work together, pool resources and invest in the costs of organizing at the commune level. In communes where WINGSPAN was active, USAID/PGP will assist networks in developing sustainable local approaches for the reinvestment and collective use of grants previously made to individual groups. Networks and other existing federative organizations are expected to deepen and intensify women's participation in planning and annual budgeting, leading to potential increases in commune investments and activities in favor of women and gradually, to political weight in the council.

### Synergy and Support

Building on USAID/PGP's success in building and nurturing synergy, Component IV activities will draw on a wide network of relations with organizations involved in gender programs and micro-finance. Local and regional exchange forums and other venues will be utilized to link women's groups to the programs that can provide technical and/or financial resources. Moreover, USAID/PGP will establish and maintain a direct dialogue with potential partners, seeking to leverage additional human and/or financial resources and work in synergy.

### 1.7.1.3. New Operational Indicators

In the first quarter of FY2007, a series of new indicators were introduced to reflect USAID/PGP's objective to strengthen, orient, and bring into sharp focus women's participation under Component IV. Field agents used the new indicators and integrated them into their second quarter reports. The data from the new indicators, along with that of existing indicators, is presented and commented below.

## ANNEX II

## Preliminary Report FY07

# CONSOLIDATING MALI'S DECENTRALIZED GOVERNANCE SYSTEM

## PRELIMINARY REPORT YEAR THREE – FINAL VERSION

**OCTOBER 15, 2006**

This publication was produced for review by the United States Agency for International Development. It was prepared by Management Systems International.

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**ANNEX Protocole de collecte des données opérationnelles**

# Acronyms

| | |
|---|---|
| FY | Fiscal Year |
| GDA | Global Development Alliance |
| MSI | Management Systems International |
| OI | Operational Indicator |
| PGP | Programme de Gouvernance Partagée<br>Shared Governance Program |
| PMP | Performance Monitoring Plan |
| | |

## 1. Presentation of the report

Management Systems International is pleased to present to USAID the FY07 Preliminary Report for the Shared Governance Program (PGP). As requested by USAID/Mali, the report is submitted at mid-October, 2 weeks ahead of the scheduled submission date for the FY07 annual report. As discussed with USAID/Mali, the report is comprised of the Program's Results Table for FY07 along with explanations for gaps between targets and achievements.

MSI has expanded considerable energy to verify the quality of data produced in this report. The report is compiled from two sources of data: the Program's Performance Monitoring Plan (PMP), and the Program's Operational Indicators (OI). In response to the need to assess data quality for all data presented under the indicators below, MSI developed and presented to USAID/Mali a Protocol for Data Quality, annexed to this report. The Protocol governs the Operational Indicator data. As for PMP data, it is governed by the protocol submitted to USAID/Mali at project onset as part of the PMP.

The table on the next page provides FY07 achievements against targets. Each deviation from the target is explained on the pages that follow the table.

## 2. Notes on data

In preparing this report, MSI has also verified the original data and calculations that served as the basis for setting FY07 targets. In a total of 2 instances, the calculations and/or data proved erroneous. This is due in part to the harried pace at which the indicators were selected and data was produced, in response to tight delays within USAID. All data and calculations used to provide FY06 baseline and FY07 targets was verified. This insures that FY07 achievements can be correctly assessed and that projections for FY2008 will rest on a solid base.

The following considerations apply to the data presented:

- Achievements for FY06 are based on the Program's 250 phase I partner communes. In order to set FY07 targets, data based on 250 communes was projected onto 150 communes using a simple calculation (VALUE/250x150)

- For data quality assurance purposes, data that does not meet criteria is rejected, meaning that the data presented is *projected* over 150 communes but not necessarily coming from all 150 communes. The number of communes over which the data is coming is specified for each indicator

- Although data is also collected for the communes of Sanso and Doumba under the Program's Global Development Alliance (GDA) activity, achievements are reported over 150 and not 152 communes. Considering Sanso and Doumba only began activities this year, data from the two is not compatible with that from the Program's 150 communes, in which activities began in 2004 and 2005.

### 3. FY07 Achievements Table

| Indicators/Targets | 9/30/06 Achieved | 9/30/07 Targets | 108 | 9/30/08 Targets |
|---|---|---|---|---|
| | Base 250 communes | Base 150 communes | | |
| Number of Local Mechanisms supported with USG assistance for citizens to engage their sub-national government | **531** | **339** | **371** | **390** |
| Number of local non-governmental and public sector associations supported with USG assistance. | **n/a** | **527** | **2,536** | **1,696** |
| Number of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization. | **n/a** | **3450** | **4,057** | **3,663** |
| **Proposed Custom Indicators:** | | | | |
| Number of sub-national government entities receiving USG assistance that have increased their revenue over the previous year. | **162** | **109** | **81** | **89** |
| Number of sub-national government entities receiving USG assistance that have addressed development needs through joint action | **132** | **106** | **89** | **73** |
| Number of sub-national government entities receiving USG assistance that have participatory mechanisms to prevent and/or resolve conflicts | **214** | **91** | **134** | **138** |
| Number of sub-national government entities receiving USG assistance in which women are represented in the annual budgeting process | **200*** | **126*** | **129** | **133** |
| **Custom Indicators – Sectoral Synergy:** | | | | |
| Number of parent-teacher association or similar school governance structures supported with USG assistance | **359** | **330** | **652** | **342** |
| Number of sub-national government entities receiving USG assistance that budget funds for community health services | **120** | **84*** | **120** | **124** |
| Number of sub-national government entities in which one or more local NGOs working in HIV were consulted in annual budgeting | **52** | **55** | **61** | **64**** |

*Modified following corrections to targets identified in January 2007. The changes are explained under the *Comments* section.

**Target represents an increase of 5%

## 4. Comments on FY07 Achievements

### 4.1 Common Indicators

| **INDICATOR***: Number of Local Mechanisms supported with USG assistance for citizens to engage their sub-national government* | **FY06 Achieved** | **FY07 Target** | **FY07 Achieved** | **FY2008 Target** |
|---|---|---|---|---|
| | **531** | **339** | **371*** | **390** |
| Source : PGP Operational Indicators | Base 250 | Base 150 | | |

Performance in FY07 is 11% above target. The value is composed of public budget debates, public presentations of annual financial reports and other mechanisms. The 11% increase fueled by significant increases in public debate (+10%) and public presentations of commune's annual financial report (+30%). Partner communes implement strategy to foster greater participation in setting investment and budget priorities, and building trust through improved accountability by the way of holding public discussions around mandatory annual financial reports. Performance in FY07 is an encouraging sign of participatory processes taking hold in an increasing number of partner communes. **Eighty-six percent of communes made public presentations of their 2007 annual budget; 47% held public discussions on the 2006 annual financial report**. Mechanisms other than those related to the budget and report need to make more progress. Excluding the budget and financial report, there was an average of 1.18 mechanisms used per commune. This value is expected to steadily increase.

Proposed target for FY2008 is 390 (a 5% increase over FY07). The target is limited to +5% above FY07 to reflect the 9-month field activity period of FY2008 (end of Program).

*Projected from respective samples of 141, 140 and 101 out of 150 communes

| **INDICATOR: Number of local non-governmental and public sector associations supported with USG assistance** | **FY06 Achieved** | **FY07 Target** | **FY07 Achieved** | **FY2008 Target** |
|---|---|---|---|---|
| | **n/a** | **527** | **2,536*** | **1,696** |
| Source : PGP Operational Indicators | Base 250 | Base 150 | | |

There was a considerable increase in CSOs supported, generating a significant difference between the target and achievement for FY07 is explained by two factors:

- First, the target and achievement are different types of values. The target is a ball-park estimate based on the number of partner communes multiplied by an arbitrary average number of organizations. No data on the number of organizations supported existed at the time when the OP targets were set. The achievement value is a compilation of the exact number of CSOs assisted in each of the program's partner communes, based on data collected specifically for this report.

- Second, there was an unexpected surge in the number of education CSOs supported this year, due to a regional administrative decision to finalize transfer ownership of infrastructure to communes, thereby creating a need among education CSOs and communes for a better understanding of the legal and administrative framework behind the transfer.

Although results will vary from one year to the next, targets for this indicator should not normally increase over time. They represent a level of effort rather than reflect performance. The proposed target for FY2008 is 1,696. The value factors in an expected 30% drop in education CSOs – taking into account this year's surge – and an adjustment for the shorter field activity period of FY2008 (2,536 -30% in education CSOs = 2,261 /12 x 9).

*Projected from a sample of 143 out of 150 communes

| INDICATOR: Number of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization | FY06 Achieved | FY07 Target | FY07 Achieved | FY2008 Target |
|---|---|---|---|---|
| | n/a | 3,450 | 4,057* | 3,663 |
| Source : PGP Operational Indicators | Base 250 | Base 150 | | |

Performance under training is 18% higher than target. This is due to a significant increase in the number of people trained in communal financial management, from 534 in FY06 to 965 in FY07. This was made possible by the program's close collaboration with GOM and other development partners, scaling up a PGP activity (in partnership with GTZ) to a national government program to improve capacity and use of standard legal formats among commune financial officers and the Treasury agents that act as the official public accountants of communes. The majority of the training sessions were co-financed with various development partners as part of the National Program.

The value of 965 may be reduced in FY2008, as an increasing proportion of officers have already benefited from training. The remaining 3,092 trainees value (4,057 – 965) is an estimate of the total number of people that learn new skills and attitudes through close mentoring by the program's field agents. The value does not change from year to year (it has been slightly adjusted this year, from 3,092 to 3,084).

Proposed target for FY2008 is 3,663. The target reflects an expected 20% reduction in the number of people trained in communal financial management and the length of the FY2008 activity period. FY2008 is a nine-month activity period. The FY07 was a twelve-month activity period. The formula used is ((965 -20%) /12 x 9 ) + 3,084)

*Actual number of formal trainings + estimate of persons trained by mentoring per commune

### 4.2 Custom Indicators

| INDICATOR: Number of sub-national government entities receiving USG assistance that have increased their revenue over the previous year<br><br>Source : PMP 2007 data | FY06 Achieved | FY07 Target | FY07 Achieved | FY2008 Target |
|---|---|---|---|---|
| | 162 | 109 | 81* | 89 |
| | Base 250 | Base 150 | | |

Eighty-one sub-national governments increased their revenue over the previous year, 26% under expected performance for FY07. Data analysis reveals the gap is largely due to the failure of a number of communes which had increased revenue in 2005 to sustain their performance in 2006. Forty-nine percent of the communes that had increased revenue in 2005 saw their 2006 revenue decrease (by 18% on average), while 51% continued to increase revenue (by 26% on average). Although reasons vary greatly from one commune to another, the following reasons stand out:

- Initial goodwill generated by program activities wears out as tax payers loose confidence due to poor commune performance, mismanagement;
- A natural reduction in the amount collected as compared to 2005 when a first major effort was made to collect back taxes, boosting the amounts to be collected;
- A increase in the proportion of taxes collected that are not recorded (the amount paid by taxpayers is higher than the amount entered into the records);
- Economic hardship linked with late payments from the cotton cooperative CMDT;
- Political and other conflict resulting in refusal to pay
- Non payment by taxpayers once the use of force is reduced / replaced by a more voluntary system

In assessing FY07 achievements, the following should be kept in mind:

- Given the context in which communes operate (with few resources, inadequate administrative supervision, widespread corruption), it is actually encouraging to see that 51% of communes with an increase in 2005 have maintained their good performance in 2006.
- 61% of the communes that had a decrease in revenue in 2005 increased revenue in 2006, by an average of 37%.
- While fewer communes increased revenue in 2006, partner communes overall increased revenue by an average of 7% in 2006 over 2005.

Proposed target for FY2008 is 89 communes (a 10% increase). The target is based on an in-depth analysis of performance in FY07. It is made up of specific targets for four (4) analytical categories: communes that have increased revenue both years (2005 and 2006), communes that have increased revenue the first year but not the second, communes that have increased revenue the second year but not the first, and communes that have not incresed revenue in either year.

*Projected from a sample of 120 out of 150 communes

| **INDICATOR: Number of sub-national government entities receiving USG assistance that have addressed development needs through joint action**<br><br>Source : PMP 2007 data | **FY06 Achieved** | **FY07 Target** | **FY07 Achieved** | **FY2008 Target** |
|---|---|---|---|---|
| | **132** | **106** | **89*** | **73** |
| | Base 250 | Base 150 | | |

Eighty-nine sub-national governments have adressed development needs through joint action in FY07, 16% below target. This is explained by the fact that the target "106" was set according to the program's initial PMP performance target for 2007 (70% of 152 communes). This target does not reflect actual program performance in FY05 (40%) and FY06 (53%). The achieved result for FY07, 89 communes, expressed as a percentage, is 59% and indicates a steady progression in performance since FY05.

The proposed target for FY08 is 73 communes. The target "73" was established by projecting a 10% increase in performance, adjusted to the performance period of FY08 (9 months instead of 12).

*Projected from a sample of 122 out of 150 communes

| **INDICATOR: *Number of sub-national government entities receiving USG assistance that have participatory mechanisms to prevent and/or resolve conflicts***<br><br>Source: PMP 2007 data | **FY06 Achieved** | **FY07 Target** | **FY07 Achieved** | **FY2008 Target** |
|---|---|---|---|---|
| | **214** | **91** | **134*** | **138** |
| | Base 250 | Base 150 | | |

Performance for FY07, "134", is 47% above target. This is explained by the fact that the target for this year was taken from the program's initial Performance Monitoring Plan (PMP). Expected performance in the PMP was set at a 5% per year increase in the number of communes that have participatory mechanisms in place.

The difference between the target and the performance level was built up over several reporting periods. Performance vs. PMP target since FY05 is as follows:

- 2004 baseline: 64%; FY05: 76% (target: 48%);
- FY06: 86% (target: 55%), FY07: 89% (target: 60%)

The value 109, above, expressed as a percentage represents 89% of communes. It may signal a natural limit in what can reasonably be achieved in terms of the proportion of communes that have participatory mechanisms to prevent and/or resolve conflicts. It is not expected to increase significantly next year.

Proposed target for FY2008 is the value achieved for FY07 increased by 3%, or 138.

*Projected from a sample of 122 out of 150 communes

| INDICATOR: *Number of sub-national government entities receiving USG assistance in which women are represented in the annual budgeting process*<br><br>Source : PGP Operational Indicators | FY06 Achieved | FY07 Target | FY07 Achieved | FY2008 Target |
|---|---|---|---|---|
| | ***200*** | ***126*** | **129*** | **133** |
| | Base 250 | Base 150 | | |

The difference in performance between target and achievement for FY07 is explained mostly by a miscalculation in setting the target, due to the haste in completing the process in January 2007. In FY06, women were represented in the annual budgeting process in 127 communes (159 communes responding). In order to set a target for FY07, the 127/159 is projected over the 250 communes of phase I, giving the value 200. The value is then projected over the 150 communes of phase II, giving 120. When a 5% increase is applied, the target for FY07 becomes 126. The achievement for FY07 is 3% above target.

Expressed as a percentage, the value 129 represents 86% of communes. This high level of performance may signal that a ceiling has been reached. The proposed target for FY2008 is 133, a 3% increase over FY07, reflecting this analysis of performance.

The proposed target for FY2008 is 133, a 3% increase over FY07, reflecting this analysis of performance.

*Projected from a sample of 117 out of 150 communes

### 4.3 Custom Indicators – Sectoral Synergy

| INDICATOR: *Number of parent-teacher association or similar school governance structures supported with USG assistance*<br><br>Source: PGP Operational Indicators | FY06 Achieved | FY07 Target | FY07 Achieved | FY2008 Target |
|---|---|---|---|---|
| | **359** | **330** | **652*** | **342** |
| | Base 250 | Base 150 | | |

The program provided support to 652 school governance structures in FY07, significantly above the target of 330 set in January of 2007 of this year. The target of 330 was compiled from the individual projections of each field agent. The significant difference between target and achievement is explained by 2 factors:

- First, the initiative by regional Ministry administrators to complete the administrative process of property transfer of schools to communes, thereby creating a need among education CSOs and communes for better understanding of the legal and administrative framework behind the transfer
- Second, an unexpected increase in demand coming from communes and school governance structures for assistance.

To understand the significant difference between what was planned and the achievement, one must keep in mind that the level of activity in any given sector depends on local government partners and other local actors. Because local actors are in the driver's seat of implementation, levels of activity may vary more than when activities are centrally planned.

The proposed target for FY2008 is 342, reflecting: 1) an expected 30% reduction in the level of performance; 2) projected over a shorter timeframe (9 months of activity in FY2008 vs 12 months in FY07). This target takes into consideration that there was a much greater effort in the field of education this year and, consequently, that the effort is unlikely to be sustained due to a likely reduction in demand and possible increases in demand coming from other sectors. The result (652 -30% = 456) is then

pojected over 9 months to produce the target value 342.

*Projected from a sample of 140 out of 150 communes

| **INDICATOR*: Number of sub-national government entities receiving USG assistance that budget funds for community health services*** | **FY06 Achieved** | **FY07 Target** | **FY07 Achieved** | **FY2008 Target** |
|---|---|---|---|---|
| | **120** | **77** | **120*** | **124** |
| Source : PGP Operational Indicators | Base 250 | Base 150 | | |

Performance in FY07 for this indicator, "120", exceeds target by 56%. This is explained in part by a miscalculation in setting the target due to the haste in completing the process in January 2007. In 2006, 80 communes budgeted funds for health (projected over 150 communes). Targeting for a 5% increase for FY07 based on 80 communes would have produced a target of 84 communes instead of 77. Once this correction is made, performance for FY07 is 43% above target.

The difference between the target and the performance is due to:

- A conservative increase projection of 5% per year
- Very sharp increases in performance in two larger program zones in FY07

The value 126 represents 84% of partner communes budgeting funds for health in 2007. This high level of performance may signal that a ceiling has been reached. The proposed target for FY2008 is 124, a 3% increase over FY07, reflecting this analysis of performance.

*Projected from a sample of 141 out of 150 communes

# ANNEXE
## Protocole de collecte des données opérationnelles

# Protocole de collecte des données opérationnelles

PROGRAMME DE GOUVERNANCE PARTAGEE

Juillet 2007

# Protocole de collecte des données opérationnelles

## 1. Introduction

PGP a, depuis son lancement, un plan de suivi de la performance (PMP) soumis et approuvé par USAID. Ce plan traite du suivi des indicateurs officiels de PGP, de la manière dont les données sont collectées, traitées et vérifiées. C'est sur la base de ces indicateurs que USAID évalue la performance de PGP chaque année, en comparant les résultats annuels aux cibles de performance établies au départ. L'outil principal de collecte de ces indicateurs est le Questionnaire de gouvernance locale, utilisé une fois par année.

Afin d'avoir un suivi plus détaillé de l'avancée des activités, PGP a confectionné et utilisé des indicateurs opérationnels (IO). Ces indicateurs se rapportent aux indicateurs du PMP et fonctionnent à un niveau plus détaillé. Les IO servent de repères pour les équipes sur le terrain sur la situation des communes de la zone, et servent à apporter une dimension quantitative aux rapports des ONG, des régions et de PGP central. Les données des IO sont compilées à chaque semestre. Les indicateurs IO ne sont pas fixes, ils peuvent évoluer avec le programme.

Cette année (FY07) USAID a adopté un système de suivi universel dénommé Operational Plan (OP). Ce système de suivi des projets financés par le gouvernement américain servira à mesurer la performance de PGP, tout comme les indicateurs du PMP. Les deux systèmes vont exister en parallèle. Des indicateurs OP ont été arrêtés pour PGP. Les données alimentant ces indicateurs proviennent du questionnaire sur la gouvernance locale pour certains indicateurs, et des données IO pour d'autres. Les indicateurs OP et la source des données sont présentés dans le tableau 1, ci-dessous.

Le présent protocole de collecte des données IO formalise tous les aspects de la collecte et du traitement des IO. Ce document est conçu à l'intention de tout le personnel de MSI/Mali et des ONG partenaires de PGP qui ont à collecter ou traiter des données IO. Les dispositions du protocole formalisent les pratiques déjà en cours. Le respect de ces dispositions permettra d'assurer la qualité des données et d'évaluer périodiquement le système. Une attention particulière est apportée aux données alimentant les indicateurs OP de USAID, pour lesquelles un haut degré de contrôle de qualité doit être assuré.

Tableau 1

**Indicateurs « OP » version finale discutée avec et adoptée par l'équipe DG USAID/Mali en janvier 2007**

| Indicateur | Description | Source de données et méthode de collecte | Questions correspondantes |
|---|---|---|---|
| **Indicateurs partagés (indicateurs standards universels USAID)** | | | |
| **Nombre de mécanismes locaux appuyés par USAID et permettant aux citoyens d'interagir avec la collectivité décentralisée** | Représenté comme un nombre. Nombre de communes ayant tenu un débat public sur le budget + nombre de communes ayant fait une restitution publique du compte administratif + exemples de concertations. Calculé annuellement selon l'année fiscale de USAID. | Indicateurs opérationn. Méthode de collecte : Voir protocole de collecte des IO | La commune a tenu un débat sur le budget de l'exercice en cours **(Q.10)**<br><br>La commune a fait une restitution publique du compte administratif de l'exercice précédent **(Q.10)**<br><br>Nombre total de consultations, concertations et/ou débats lors de la période (excluant budget et CA) (excluant les formations et ateliers organisés par des partenaires extérieurs) **(Q.9)** |
| **Nombre d'organisations locales privées et de la société civile ayant reçu un appui de l'agent PGP.** | Représenté comme un nombre. **Chaque organisation est comptée une fois par année**. Calculé annuellement selon l'année fiscale de USAID. | Indicateurs opérationn. Méthode de collecte : Voir protocole de collecte des IO | Organisations appuyées par l'agent pendant l'année de projet (nbe). **(Q.2.b)** |
| **Nombre d'individus ayant reçu une formation avec appui USAID dans le but de renforcer les collectivités et/ou la décentralisation.** | Nombre de personnes ayant reçu une formation en GFC avec appui PGP + nbe de conseillers des communes partenaires + nbe moyen de membres des comités de suivi (8) x nbe communes PGP + membres d'autres organisations appuyées (4) x nbe communes PGP. | Rapports PGP Trainet | Nombres de personnes formées, désagrégé par genre (H/F) selon rapports de formation de la composante II.<br>Autres personnes : estimation annuelle (compté une fois). |
| **Indicateurs spécifiques à PGP** | | | |
| **Nombre de communes appuyées par USAID ayant augmenté leur revenu sur l'exercice précédent** | Nombre de communes dont les rentrées fiscales pour l'exercice écoulé (n-1) sont supérieures à celles enregistrées pour l'exercice précédent (N-2) | Plan de suivi de la performance PGP Méthode de collecte : voir protocole du PMP | Source : données annuelles provenant du questionnaire sur la gouvernance locale |
| **Nombre de** | Identique au questionnaire sur la | Plan de suivi | Source : données annuelles |

| | | | |
|---|---|---|---|
| **communes appuyées par USAID qui ont résolu un problème de développement dans le cadre d'un partenariat** | gouvernance - indicateur I.3 | de la performance PGP Méthode de collecte : voir protocole du PMP | provenant du questionnaire sur la gouvernance locale (indicateur 1.3) |

| | | | |
|---|---|---|---|
| **Nombre de communes qui ont des mécanismes participatifs de prévention et de résolution des conflits** | Identique au questionnaire sur la gouvernance - indicateur I.6 | Plan de suivi de la performance PGP Méthode de collecte : voir protocole du PMP | Source : données annuelles provenant du questionnaire sur la gouvernance locale (indicateur 1.6) |
| **Nombre de collectivités appuyées par USAID dans lesquelles les femmes sont représentées dans le processus budgétaire** | Nombre de communes où un ou des groupes féminins ont soit été consultés sur le plan d'investissement annuel, soit ont été consulté sur le budget annuel, soit étaient présents lors du débat sur le budget | Indicateurs opérationn. Méthode de collecte : Voir protocole de collecte des IO | Consultations sur le lan d'investissement annuel : nombre de groupes consultés : : groupements femmes = + de "0" **(Q.10)**<br><br>Consultations sur le budget : nombre de groupes consultés : : groupements femmes = + de "0" **(Q.10)**<br><br>Débat sur le budget : nombre de groupes consultés : groupements femmes = + de "0" **(Q.10)** |
| **Indicateurs de synergie** | | | |
| **Nombre d'associations et/ou autres structures de gouvernance scolaire appuyées avec des fonds USAID** | Nombre d'écoles, CGS ou APE, par commune, ayant reçu un appui de PGP. Note : il est essentiel de distinguer entre les écoles partenaires de PAQEE et non partenaires de PAQEE<br>**Chaque école/APE/CGS est compté une seule fois pour l'année** | Indicateurs opérationn. Voir protocole de collecte des IO | Nom des écoles/CGS/APE (partenaire de PAQEE) ayant reçu un appui de PGP au cours de l'année de projet<br>Nom des écoles/CGS/APE (non partenaire de PAQEE) ayant reçu un appui de PGP au cours de l'année de projet |
| **Nombre de collectivités appuyées par USAID et budgétant des fonds pour la santé communale** | Nombre de communes où la commune a budgété un ou des dépenses et/ou investissements pour la santé | Indicateurs opérationn. Voir protocole de collecte des IO | La commune a prévu une contribution à la santé dans son budget courant **(Q.5.b)** |
| **Nombre de collectivités appuyées par USAID dans lesquelles une/des ONG VIH/SIDA ont participé au processus budgétaire de l'exercice en cours** | Nombre de communes où un ou des ONG actives dans le domaine VIH/SIDA soit ont été consultés sur le plan d'investissement annuel, soit ont été consulté sur le budget annuel, soit étaient présents lors du débat sur le budget | Indicateurs opérationn. Voir protocole de collecte des IO | Groupes consultés dans l'élaboration du budget de l'exercice courant (oui/non) : ONG VIH/SIDA **(Q ;15)** |

## 2. Architecture du système de collecte et de traitement des indicateurs opérationnels

Les données IO proviennent des agents de terrain qui, dans le cadre de leur travail avec les partenaires de terrain, ont accès et travaillent avec un certain nombre d'informations sur la gestion financière, les partenariats et les processus participatifs. Ces informations ne sont pas collectées périodiquement mais plutôt, font partie de ce que l'agent lui-même utilise comme information dans son travail quotidien. Les IO constituent le « carnet de bord » de l'agent.

Les agents sont formés et encadrés dans la collecte des données opérationnelles par le coordonnateur de l'ONG, lui-même encadré par le Conseiller en gouvernance locale (CGL) et le Coordonnateur régional (CR). Les besoins de formations additionnelles ou de mise à niveau sont identifiées et réalisées par les équipes régionales (CGL et CR)

Le coordonnateur des agents de l'ONG partenaire, le Conseiller en gouvernance locale (CGL) MSI et le coordonnateur régional (CR) MSI disposent d'un tableau sommaire qui rassemble des données des communes de la zone. Le tableau sommaire sert de carnet de bord pour les coordonnateurs, CGL et CR lors des tournées de supervision auprès des agents. Un premier niveau de contrôle s'exerce lors de ces tournées.

Une fois par semestre les informations contenues dans le carnet de bord sont rassemblées au niveau de lONG. Lors de cet exercice, un deuxième niveau de contrôle est exécuté par le coordonnateur. Ce dernier vérifie avec les agents la validité des données. Le coordonnateur vérifie verbalement avec les agents que les données rapportées sont conformes aux niveaux minimums acceptables détaillés au tableau ci-dessous. Le coordonnateur confronte également les données avec sa propre connaissance des communes en question, acquise lors des tournées de supervision.

Le coordonnateur transmet alors les données à l'équipe régionale. L'équipe régionale vérifie à son tour les données, les confrontant aux connaissances propres du CGL et du CR, acquises lors des tournées de supervision. L'équipe régionale procède alors à la compilation des données et à leur transmission au niveau central sous forme de « fiches de compilation ». Les tableaux sommaires sont envoyés avec les fiches de compilation afin de permettre une vérification des données compilées par rapport aux données source et limiter les erreurs de transcription. La même confrontation est faite au niveau national entre les données des communes et les connaissances des responsables de composante.

Au niveau central, le responsable du suivi évaluation effectue une compilation nationale à partir des compilations régionales. La compilation nationale est effectuée dans un document Excel présentant toutes les entrées des zones, ce qui permet une vérification de transcription pour éliminer les erreurs. Le responsable du suivi évaluation exécute également des analyses de cohérence afin d'identifier des données hors normes (une zone par rapport à la moyenne), les changements brusques entre une période et une autre. Les incohérences ainsi détectées conduisent à des vérifications avec les équipes de terrain.

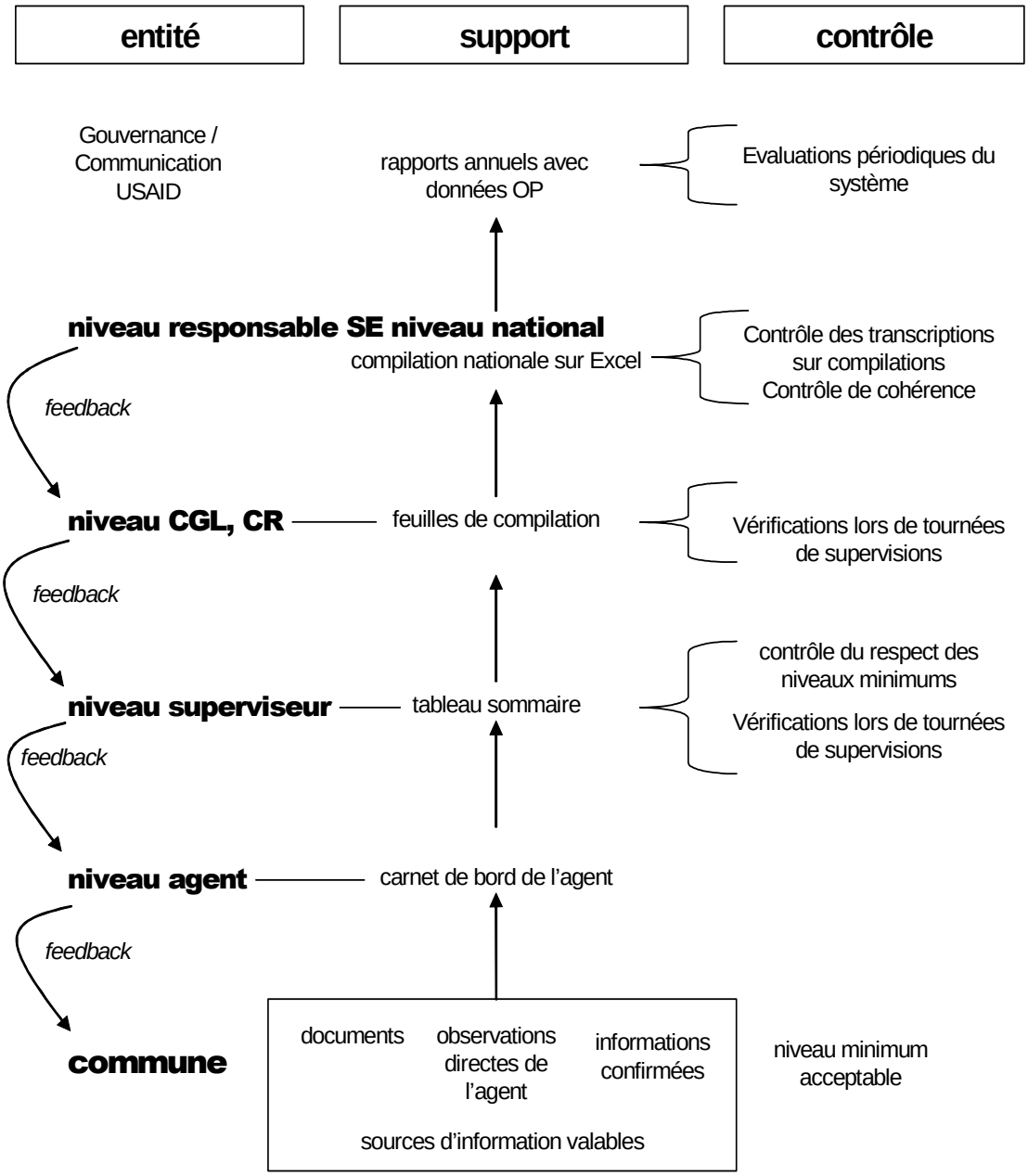
L'architecture du système est illustrée au diagramme 1, ci-dessous.

Diagramme 1

schéma de circulation des données sur les indicateurs opérationnels

Programme de gouvernance Partagée

Juillet 2007



## 3. Validité des données

Il y a trois types de sources valables pour les données : les documents écrits, les événements observés directement par l'agent, et les informations provenant de partenaires. Chaque source suppose un niveau minimum de vérification par l'agent.

| Exemples de questions correspondantes | Méthode de vérification | Niveau minimum acceptable |
|---|---|---|
| Indicateurs alimentant les données OP | | |
| Participation au processus de budgétisation et comptes-rendus | Consultation et restitution publique du CA : observations directes de l'agent OU information confirmée par une 2e personne<br>Débat : PV officiel de la commune OU observations directes de l'agent OU information confirmée par une 2e personne | Information confirmée par une 2e personne |
| Nombre de collectivités appuyées par USAID dans lesquelles les femmes sont représentées dans le processus budgétaire | Consultation et restitution publique du CA : observations directes de l'agent OU information confirmée par une 2e personne<br>Débat : PV officiel de la commune OU observations directes de l'agent OU information confirmée par une 2e personne | Information confirmée par une 2e personne |
| Nombre d'organisations appuyées | Rapports de l'agent | n/a |
| Nombre d'associations et/ou autres structures de gouvernance scolaire appuyées avec des fonds USAID | Rapports de l'agent | n/a |
| Nombre de collectivités appuyées par USAID et budgétant des fonds pour l'éducation | Montant budgété vu dans le budget ventilé OU observations directes de l'agent lors du processus OU partenaire communal capable de communiquer à l'agent le montant prévu | Partenaire communal capable de communiquer à l'agent le montant prévu |
| Nombre de collectivités appuyées par USAID et budgétant des fonds pour la santé communale | Montant budgété vu dans le budget ventilé OU observations directes de l'agent lors du processus OU partenaire communal capable de communiquer à l'agent le montant prévu | Partenaire communal capable de communiquer à l'agent le montant prévu |
| Nombre de collectivités appuyées par USAID dans lesquelles une/des ONG VIH/SIDA ont participé au processus budgétaire de l'exercice en cours | Montant budgété vu dans le budget ventilé OU observations directes de l'agent lors du processus OU partenaire communal capable de communiquer à l'agent le montant prévu | Partenaire communal capable de communiquer à l'agent le montant prévu |
| Autres exemples d'indicateurs IO | | |
| Accord commune-ASACO signé | Vérification de l'existence du document | Si l'agent n'a pas vu l'accord, il ne peut rapporter la donnée |
| Supports légaux tous utilisés régulièrement | Vérification des documents | Si l'agent ne peut voir les documents de support comptable, il ne peut rapporter la donnée |
| Commissions actives lors du dernier trimestre | PV de la commission OU observation directe de l'agent ou ou information confirmée par une 2e personne | Information confirmée par une 2e personne |
| Présence quotidienne des adjoints | Soit observation directe de l'agent ou information confirmée par une 2e personne | Information confirmée par une 2e personne |
| La commune participe régulièrement aux réunions ASACO | | |
| Exemples de concertations | | |

## 4. Système de contrôle de la fiabilité des données

Le protocole prévoit des procédures et supports de contrôle de la qualité des données à toutes les étapes du processus. Les étapes et support sont détaillées dans le tableau 2, ci-dessous

Tableau 2 : Système de contrôle de la fiabilité des données

| Etape | Périodicité | Responsabilité | Supports | Supports de contrôle |
|---|---|---|---|---|
| Collecte des données | Continuelle | L'Agent a la responsabilité de respecter le niveau minimum acceptable pour les données et de maintenir un très bon niveau d'information générale sur ses communes | Carnet de bord de l'agent | Aucun. Le coordonnateur ou CGL ou CR peuvent demander à l'agent de voir les documents afférant aux données ou rencontrer les sources d'information de l'agent de manière aléatoire lors de visites de supervision |
| Mise en commun des données | Semestriellement au minimum, trimestriellement selon les besoins de la zone | L'ONG partenaire de MSI a la responsabilité, par l'entremise du coordonnateur, d'assurer que les données communiquées par les agents répondent au minimum acceptable. Le coordonnateur doit confronter les données des communes à ses propres connaissances. | Tableau sommaire semestriel de la zone | L'ONG confirme dans son rapport que les données des agents ont été contrôlées avec les agents et répondent au minimum acceptable. Les corrections éventuelles de données sont mentionnées dans le rapport de l'ONG. Toute difficulté dans la compréhension d'un indicateur et/ou dans l'obtention de la donnée dans la commune devrait être rapportée dans le rapport de l'ONG |
| Tournées de supervision | Plusieurs fois dans le trimestre | Le coordonnateur, les CGL et CR ont chacun la responsabilité d'effectuer des contrôles de qualité des données dans certaines des communes visités à partir du tableau sommaire lors de leurs tournées. | | Les rapports d'activités des ONG et des CR doivent indiquer les communes où des vérifications ont été faites lors de la période. Toute différence entre les tableaux et la réalité de terrain lors de ces contrôles devrait faire l'objet d'une mention dans le rapport, en spécifiant la ou les données erronées, la raison de l'erreur et les mesures prises en conséquence. |
| Compilation des données par la coordination régionale | Semestriellement | Les CGL et CR doivent confronter les données des communes à leurs propres connaissances | Compilations zone | Les corrections éventuelles de données sont mentionnées dans le rapport de la CR |
| Contrôle de cohérence des données | Semestriellement | Le responsable du suivi évaluation contrôle la compilation pour déceler des erreurs de transcription ou de calcul et contrôle la cohérence des données | Compilation centrale de toutes les zones | Les corrections éventuelles de données sont notées par le responsable et communiquées aux coordinations régionales |
| Confrontation avec le niveau central | Semestriellement | Le responsable suivi évaluation fait circuler les données auprès des 4 composantes pour les confronter aux informations détenues au niveau national. | | Les corrections éventuelles de données sont notées par le responsable et communiquées aux coordinations régionales |
| Evaluation du système | Annuellement au mois de novembre | Le responsable suivi évaluation | | Le responsable suivi évaluation fait le bilan des erreurs relevés à chaque niveau, donne une |

| | | | | |
|---|---|---|---|---|
| | | | | évaluation du système en conséquence et fait des recommandations. |

## 5. Remplissage des tableaux

Toutes les cellules, ou cases, des tableaux devraient être remplies. Dans le cas où la donnée ne remplit pas le niveau minimal acceptable, le symbole « n/d » doit être inscrit dans la case. Ceci permet d'éviter les cases laissées vides et pouvant prêter à des interprétations diverses.

## 6. Support de collecte des données des indicateurs OP de USAID

Les indicateurs OP de USAID ont été décrites dans le tableau 1, ci-dessus. Les questions afférants à ces indicateurs sont présentés ci-dessous tel qu'elle apparaissent dans le « carnet de bord » de l'agent, et commentées au besoin.

Indicateur OP : **Nombre d'organisations locales privées et de la société civile ayant reçu un appui de l'agent PGP**

Question dans la carnet de bord de l'agent : **Nombre d'organisations appuyées**

| Commune | ASACO | CGS/APE | Associations d'usagers | Coopératives | Associations féminines | ONG VIH/SIDA | autres |
|---|---|---|---|---|---|---|---|
| | nombre | nombre | nombre | nombre | nombre | nombre | nombre |
| | | | | | | | |

Description : Cet indicateur mesure le nombre total d'organisations de la société civile appuyées par le projet. Le nombre est calculé par commune. Les organisations accompagnées par l'agent, ayant reçu une formation, une co-facilitation, une mise en relation ou autres appuis sont comptées. Chaque organisation ne peut être comptée qu'une seule fois pendant l'année.

**Nombre d'écoles/CGS/APE ayant reçu un appui PGP**

| commune | Ecoles partenaires de PAQEE (nombre) | Ecoles non partenaires de PAQEE (nombre) |
|---|---|---|
| | | |

Description : Cet indicateur mesure le nombre total de CGS, APE ou écoles appuyées par le projet. Le nombre est calculé par commune. Les CGS/APE/écoles accompagnées par l'agent, ayant reçu une formation, une co-facilitation, une mise en relation ou autres appuis sont comptées. Chaque école ne peut être comptée qu'une seule fois même si des actions en direction du CGS, de l'APE ou de la direction furent réalisées séparément.

**Indicateurs OP :**

1) **Nombre de mécanismes locaux appuyés par USAID et permettant aux citoyens d'interagir avec la collectivité décentralisée**
2) **Nombre de collectivités appuyées par USAID dans lesquelles les femmes sont représentées dans le processus budgétaire**

Questions (2) dans la carnet de bord de l'agent :

1) **Participation au processus de budgétisation et comptes-rendus**

| commune | **Tenu ? oui/non** | événement | Conseils de village | Groupmts femmes | Groupmts jeunes | OSC | Services tech. |
|---|---|---|---|---|---|---|---|
| | | **Consultation sur plan d'investiss. annuel (si non combinée avec consult. sur budget)** | | | | | |
| | | Nbe de groupes consultés | | | | | |
| | | **Consultation sur budget** | | | | | |
| | | Nbe de groupes consultés | | | | | |
| | | **Débat sur le budget** | | | | | |
| | | Nbe de groupes consultés | | | | | |
| | | Nbe de participants | | | | | |
| | | **Restitution du compte administratif** | | | | | |
| | | Nombre de groupes | | | | | |
| | | Nombre de participants | | | | | |

Description : Cet indicateur mesure le niveau de participation aux processus budgétaire et de compte-rendu de gestion. La consultation sur le plan d'investissement communal est comptée uniquement si celle-ci fut distincte de la consultation sur le budget global. La session du conseil sur le budget ne compte pas comme débat. La session d'adoption du compte administratif ne compte pas en soi comme restitution publique. La colone « groupements femmes » mesure la participation des femmes aux processus. Le nombre « 0 » dans la colonne signifie qu'aucune organisation féminine n'a participé.

**2) Exemples de dialogue communal lors de la période**

| commune | Concertations entre acteurs, débats publics, consultations publiques sur des problématiques ou initiatives locales (spécifiez) | Principaux thèmes discutés / résolutions / impact | **Initié par** |
|---|---|---|---|
| | | | |

Description : Cet indicateur mesure le niveau de dialogue présent dans la commune. Le dialogue peut être incité par le bureau communal, une commission du conseil, des groupes de la société civile ou de simples citoyens. L'unité de mesure est tout exemple d'événement public : concertation, consultation, mobilisation autour d'un thème. L'indicateur mesure uniquement les exemples de dialogue initiés par les acteurs mêmes, et exclut les événements organisés par des organisations externes (formations, sensibilisations). Les événements s'inscrivant dans le PSP ou initiés en partenariat avec PGP sont comptés.

Indicateur OP : **Nombre d'associations et/ou autres structures de gouvernance scolaire appuyées avec des fonds USAID**

Question dans la carnet de bord de l'agent :

**Partenariats éducation – incluant centres alpha et CED**

| Contribution de la commune aux écoles inscrite au budget 2007 (montant) |
|---|
| |

Description : Montant inscrit au budget communal de l'année en cours en faveur de l'éducation, et comprenant entre autres la prise en charge d'enseignants, les subventions aux fonctionnement, le matériel scolaire, l'appui à la tenue des examens, les investissements.

Indicateur OP : **Nombre de collectivités appuyées par USAID et budgétant des fonds pour la santé communale**
Question dans la carnet de bord de l'agent : Partenariats santé

| Contribution de la commune à l'ASACO inscrite au budget courant montant |
|---|
| |

Description : Montant inscrit au budget communal de l'année en cours en faveur de la santé, et comprenant entre autres la prise en charge de personnel médical, les subventions aux fonctionnement, le matériel médical, les investissements.

Indicateur OP : **Nombre de collectivités appuyées par USAID dans lesquelles une/des ONG VIH/SIDA ont participé au processus budgétaire de l'exercice en cours**
Question dans la carnet de bord de l'agent : **HIV/SIDA**

| ONG a participé au processus budgétaire (oui/non) |
|---|
| |

Description : L'indicateur contribue à mesurer le niveau d'intégration des ONG oeuvrant dans le domaine du VIH/SIDA dans la vie communale. L'agent inscrit « oui » si une ou plusieurs Ong HIV/SIDA a/ont participé d'une manière ou d'une autre dans le processus (consultation et/ou participation au débat sur le budget)